Central Depository System User Manual

For Pledgee

(Ver 1.2)

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1 INTRODUCTION

1.1 PURPOSE AND SCOPE

The CDS User Manual is a detailed guide for all users responsible for the day-to-day operations of the Central Depository System (CDS). The details contained herein are applicable to all CDS elements and their authorised users in accordance with their nature and authority to execute various types of CDS transactions. These elements include but are not limited to:

- Account Holders, including Participants
- Registrars / Transfer Agents
- Eligible Pledgees
- Trustee

The Manual covers details of operations for all users of the CDS. Relevant sections of the Manual are issued to different categories of users according to their needs. Certain sections, such as an introductory or general nature however, will be included in the copies of the Manual distributed to all types of users. Some sections of the manual contain material, which is of relevance to more than one category of users. Such sections will obviously be issued to all the users to whom they apply.

The Manual covers the following broad areas of operations of CDS:

- The maintenance of the referential files contained in the system. These files contain data such as different types of codes used in the system. Examples, such as country code, participant type, account type, etc., are discussed in detail in later sections of the manual
- Guideline for setting up of various entities in the system, e.g. element, security & accounts etc.
- Guideline for execution of direct transactions in the system. Such transactions cover all the core operations of the depository including deposits, withdrawals, inter and intra-account delivery of securities and transactions relating to pledges.

- Guideline for execution of administrative transactions which would normally be carried out by the staff of the depository. Transactions included would cover billing for services rendered to elements of the CDS and other such transactions.
- Guideline for users of the system to generate the reports from the system.
- Transactions relating to corporate actions.

1.2 OPERATING DAY

Execution of all CDS transactions as explained in this manual is subject to availability of the Central Depository System in accordance with the time frame defined in the Operating Day Schedule approved and revised from time to time by the management of Central Depository Company of Pakistan Ltd.

1.3 UPDATING

In cases of revisions and updates of the functionalities contained herein or introduction of new functionalities, the Central Depository Company of Pakistan Limited shall revise this Manual from time to time and provide a copy to all authorised holders.

This manual will be revised and kept up-to-date by the CDC management on a continuous basis, as and when required.

Copies of the revisions (or the revised versions of the manual, as the case may be) are sent to each authorised holder of the manual. The following standards are adhered to for the incorporation of revisions in the manual:

(i) The effective date of the revision should be indicated on all the new pages to be inserted in the manual, as well as on the old pages.

(ii) Where a page number becomes redundant a fresh blank page should be inserted to indicate this fact and to preserve the numerical sequence of

the manual. Such blank pages should all carry the legend "[This page has been intentionally left blank]".

1.4 DISTRIBUTION

Copy of the full manual will be issued only to CDC staff and such other users of the CDS may require them. In all other cases, users will be issued only with the relevant section of the manual in which their transactions deal.

The CDS User Manual (or relevant sections of it) is distributable to:

- Chief Executive Officer
- Company Secretary.
- All Department Heads
- All users of the CDS, including Participants, Eligible Pledgees, Registrar/Transfer Agents and Trustees.

2 GETTING STARTED

2.1 CDS CLIENT DOWNLOAD

The following steps are to be followed in order to download the CDS client program on the user's computer.

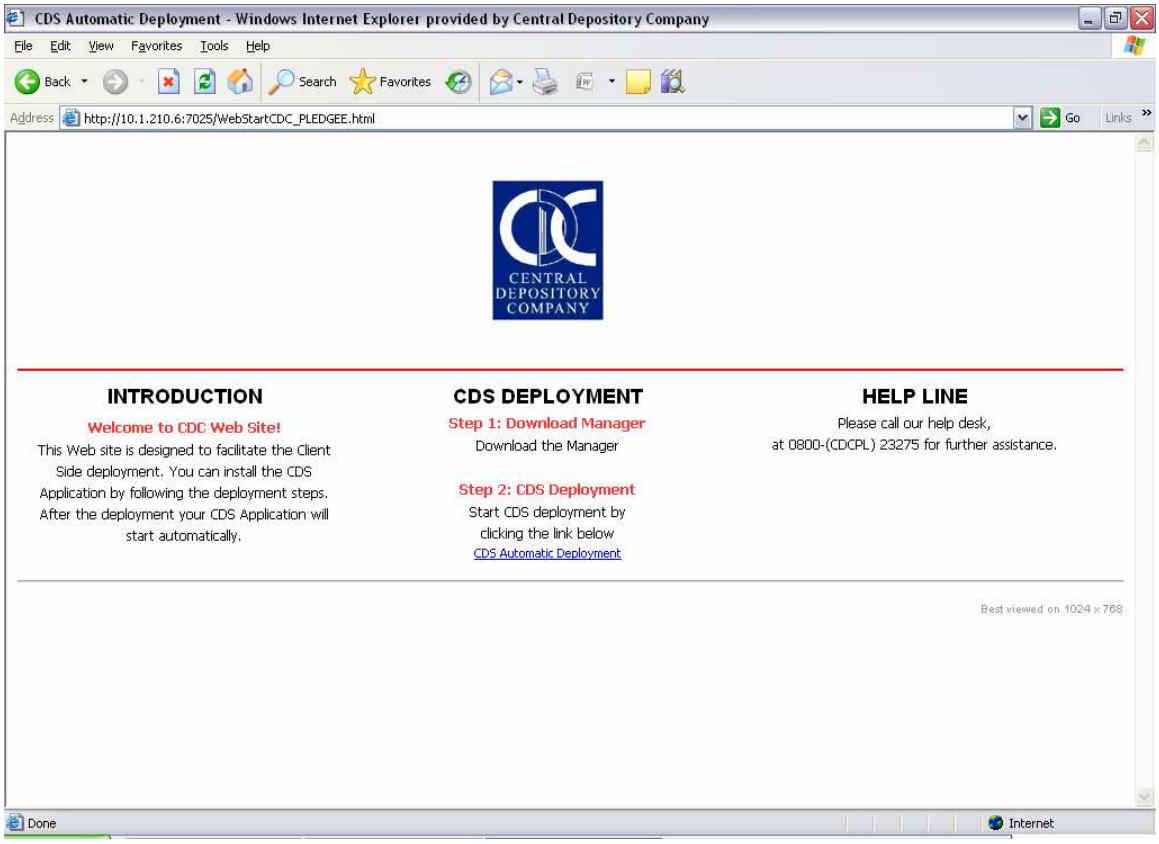
2.1.1 Prerequisites

Before downloading the CDS Client Software, please make sure that a directory by the name of 'CDS' is present at the root of C:\ drive of your PC and contains the library file that is essential to download and run CDS.

In case the above folder and the required file are not available, please inform the CDC - Customer Support Services at 0800-23275 for the same. Please also make sure that the Acrobat Reader version 7.0 or above is also installed on your PC.

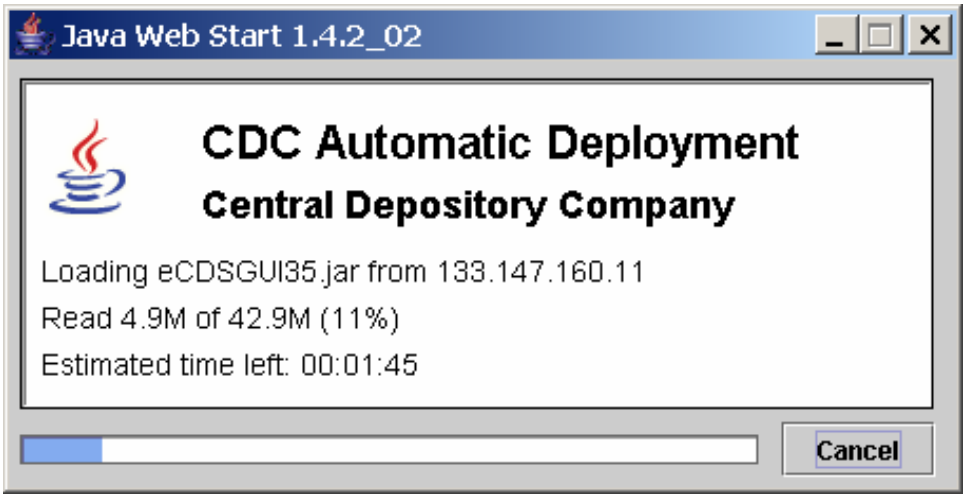
2.1.2 Software Download

In order to download the CDS software, the user will be provided a web address through e-mail, leading the user to CDS Client Software Deployment web page. The installation webpage is shown below:

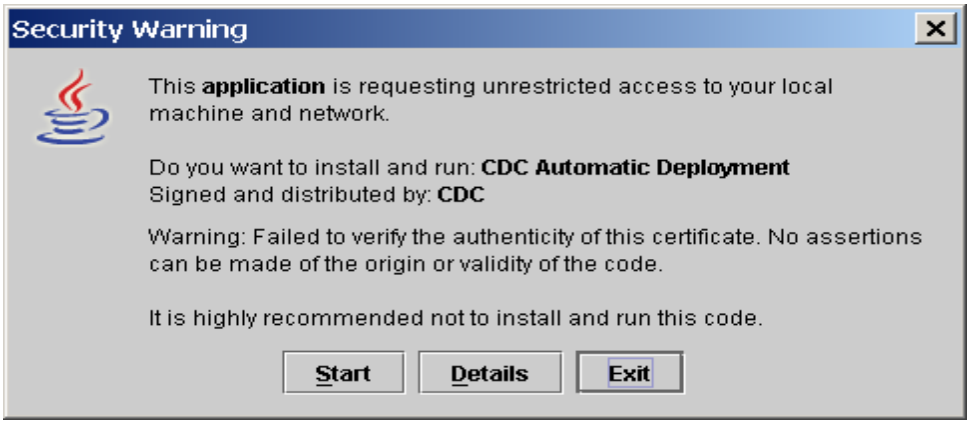

CDS Automatic Deployment - Windows Internet Explorer provided by Central Depository Company
File Edit View Favorites Tools Help
Back Search Favorites
Address http://10.1.210.6:7025/WebStartCDC_PLEDGEE.html
Go Links
CENTRAL DEPOSITORY COMPANY
INTRODUCTION
Welcome to CDC Web Site!
This Web site is designed to facilitate the Client Side deployment. You can install the CDS Application by following the deployment steps. After the deployment your CDS Application will start automatically.
CDS DEPLOYMENT
Step 1: Download Manager
Download the Manager
Step 2: CDS Deployment
Start CDS deployment by clicking the link below
CDS Automatic Deployment
HELP LINE
Please call our help desk, at 0800-(CDCPL) 23275 for further assistance.
Best viewed on 1024 x 768
Done
Internet

Clicking on the *CDS Automatic Deployment* link, the client software will automatically start downloading. Initially, the following screen will appear that will load the JAVA environment:

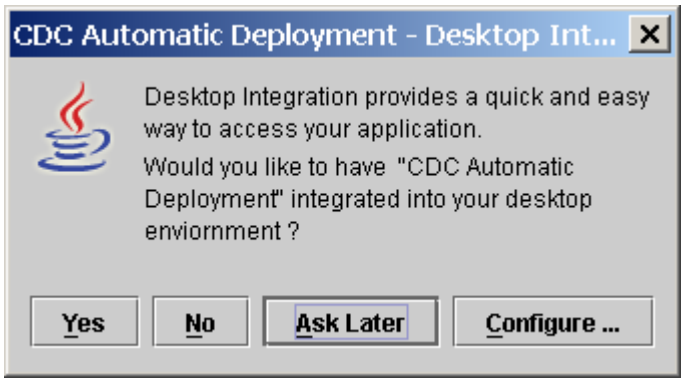
The following screen will appear that will depict the step-by-step progress for the software being downloaded.



Following screen shall ask for the permission to download the software on your PC. Click 'Start' to allow the downloading.

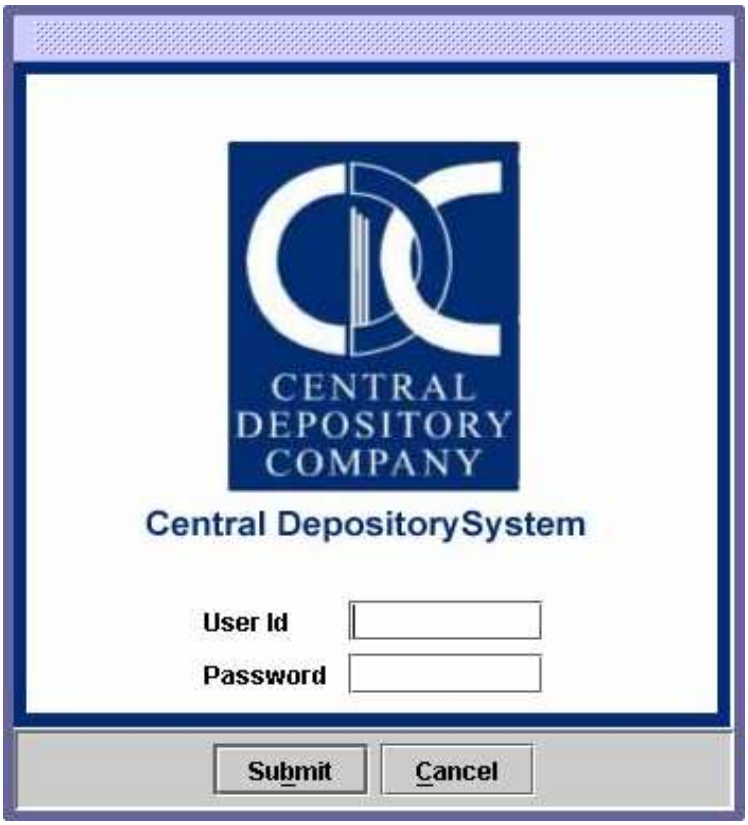

Security Warning
This application is requesting unrestricted access to your local machine and network.
Do you want to install and run: CDC Automatic Deployment
Signed and distributed by: CDC
Warning: Failed to verify the authenticity of this certificate. No assertions can be made of the origin or validity of the code.
It is highly recommended not to install and run this code.
Start
Details
Exit

The following screen asks for creating the shortcut on the desktop for the CDS application. Click 'Yes' to create the shortcut.


CDC Automatic Deployment - Desktop Int...
Desktop Integration provides a quick and easy way to access your application.
Would you like to have "CDC Automatic Deployment" integrated into your desktop enviornment ?
Yes
No
Ask Later
Configure ...

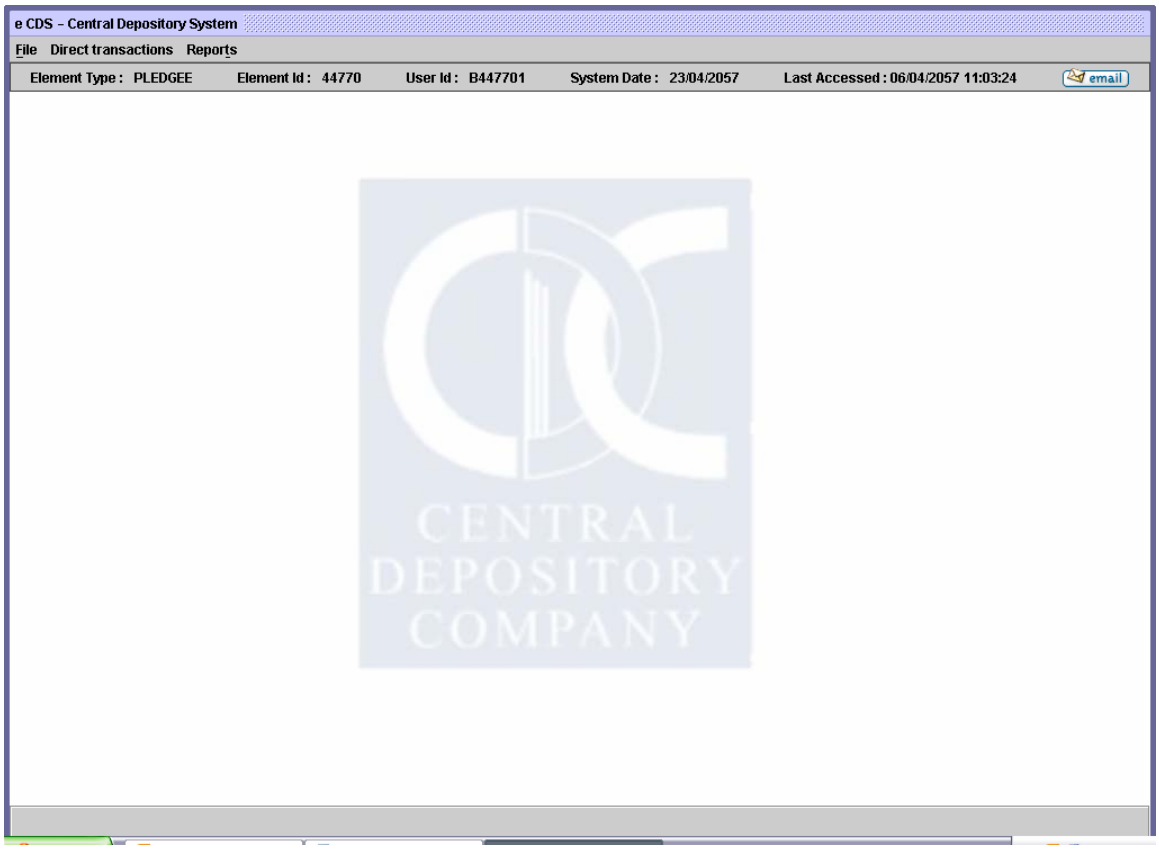
When the program is being loaded and before the login screen is shown, the following screen appears:

As the program loads, the user is presented with the following Login Screen:



In order to gain access to CDS, the unique user ID and password assigned to each user by the system administrator are to be entered in their respective textboxes on the above screen.

Once the user logs on to CDS after entering valid user ID and password, the following Main Menu Screen is displayed.

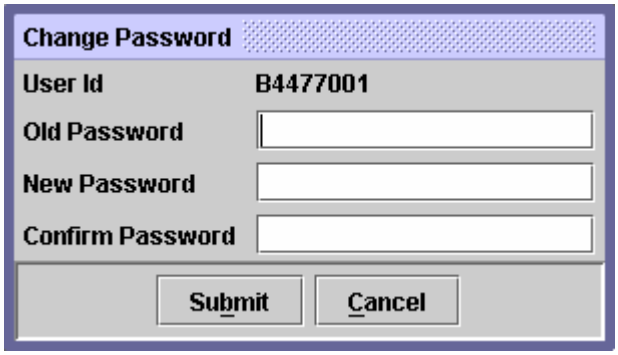


2.2 CHANGE PASSWORD

When the user first logs in to the CDS, user identification number and respective password are identical. However, the CDS does not allow the user to access the system functionalities unless the user changes the password.

In case a user does not change his password for the mentioned number of days (setup by the CDS administrator) CDS requires the user to immediately change the password upon next login.

In order to maintain security, it is strongly recommended that the user change his password from time to time so as to have independent and absolute control over his CDS access authorities. The Change Password option in the File Menu allows the user to change an existing password and replace it with a new one. When the user clicks this option, he is presented with the following screen:



To change his password the user has to follow the procedure given below:

1. Type the old/previous password.
2. Press Tab to move into the *New Password* field and type the new password as per the password policy set by the CDS administrator.
3. Press Tab to move into *confirm password* field and re-enter the new password.
4. Click *Submit* to commit the changes.

2.3 COMMONLY USED COMMAND BUTTONS

Certain command buttons are provided in the screens contained in the system. In order to avoid excessive repetition, before going into detailed explanations of CDS operations, the functions of these buttons are explained below.

2.3.1 Refresh Button

The *Refresh* button is used to update a screen to the most current state. This function will only be useful after using the *'Add'/'Update'* Button to *Save* any changes that have been made. The '*Refresh'* button may also be used to update a list of records after any additions or changes have been made to the contents of that list. It can also be used to refresh a scrolling table once a search option has been used.

2.3.2 Add Button

The *'Add'* Button is used to add a record to the system.

2.3.3 Update Button

The *'Update'* Button is used to update an already existing record in the system.

2.3.4 Delete Button

The '*Delete'* button is used to delete an existing record from the system. The system automatically checks for referential integrity violations before any deletions are made.

2.3.5 Cancel Button

The '*Cancel'* button will take the user out of the current screen and put him back on the screen or menu from where that application was invoked.

2.3.6 Double click

In all lookup tables or wherever the user is expected to select a record from a list, the user can do so by placing the cursor on the desired record and double-clicking the left mouse button. The cursor can be moved by means of the mouse or by using the cursor keys on the keyboard.

2.3.7 Save button

On all Add or Update screens the system does a temporary save the current data if the user clicks the 'Save' button.

2.3.8 Post button

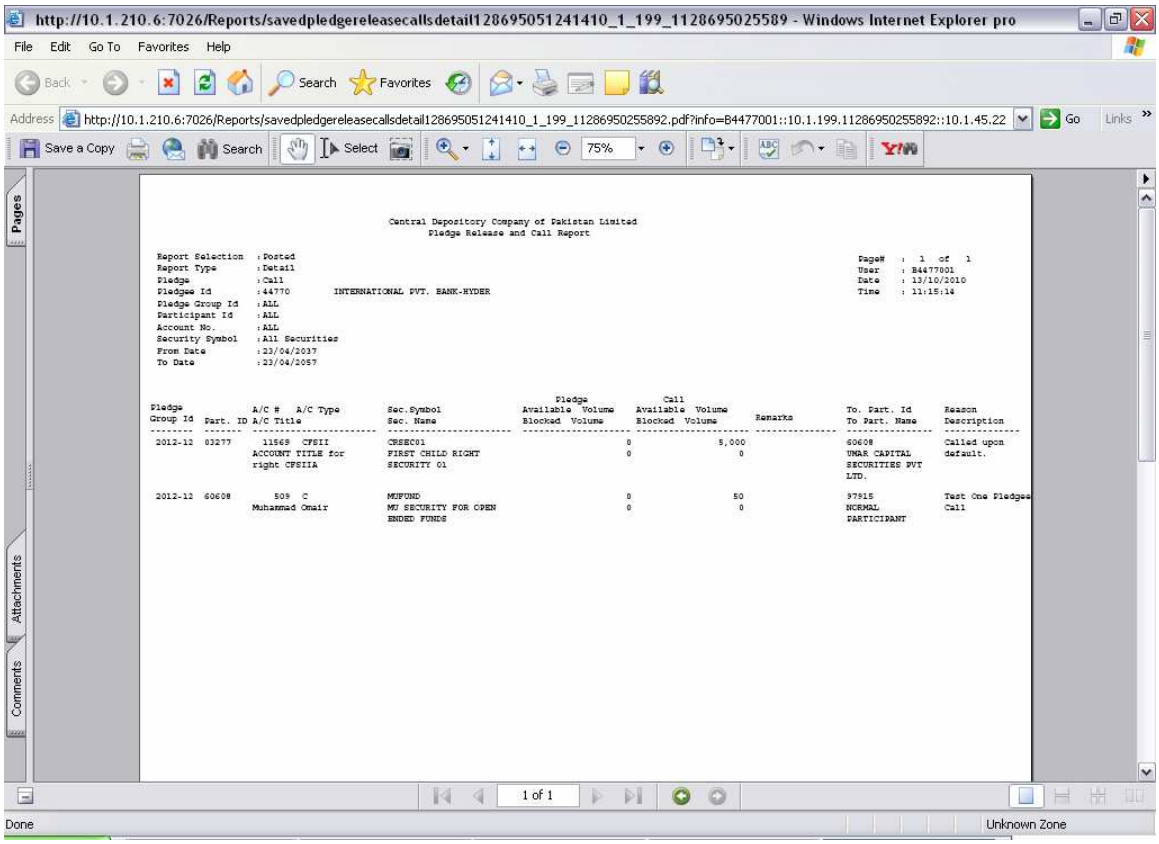
On all Save screens the system posts the save data if the user clicks the 'Post' button.

2.3.9 Search button

The Search button is used to find a record from a table matching the criteria provided in the Search Option fields on the screen.

2.3.10 Report

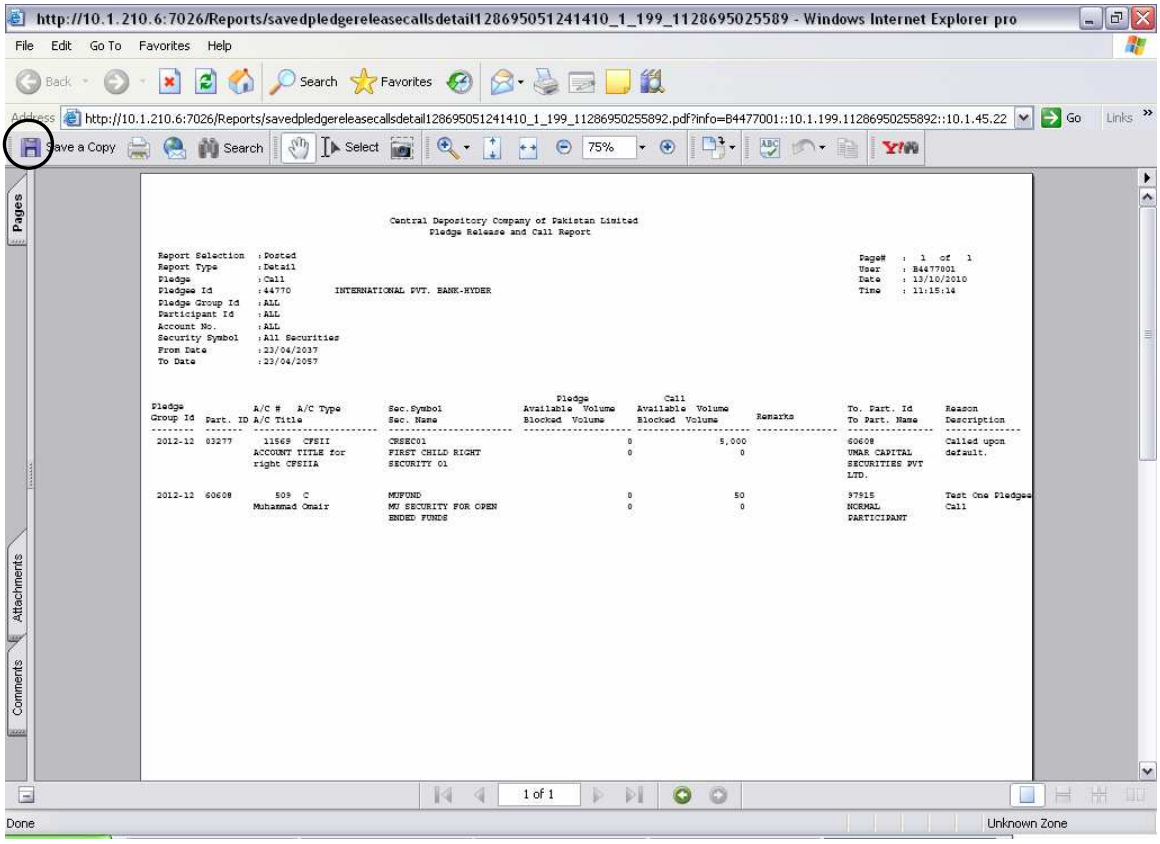
Whenever the user will generate any report, a separate screen will appear containing the respective report in Adobe Acrobat format, as shown below:



2.3.10.1 Report Save

In order to save the report on a Personal Computer, the users will need to press the short-cut keys *"Ctrl+S"* on the keyboard or click the shortcut icon on the report screen, as shown below:

Shortcut icon for saving report →



Central Depository Company of Pakistan Limited
Pledge Release and Call Report

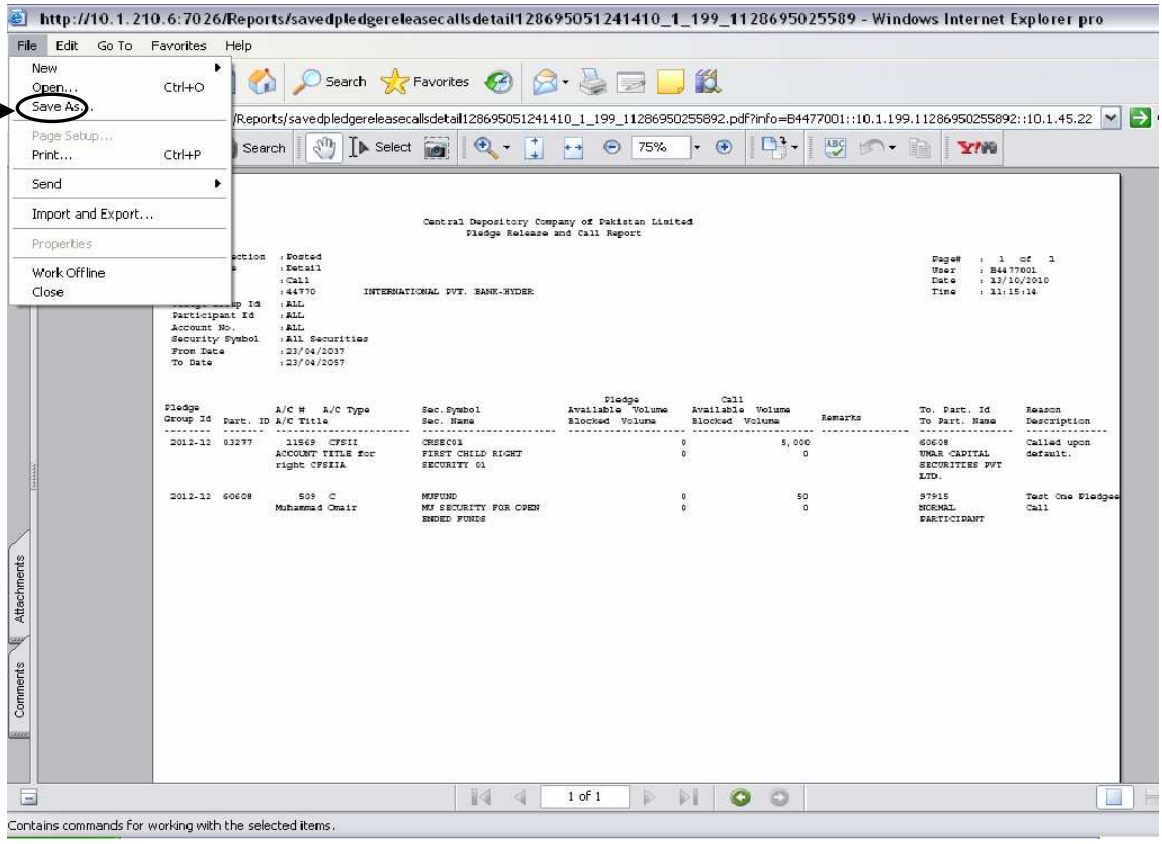
Report Selection : Posted
Report Type : Detail
Pledge : Call
Pledgee Id : 44770 INTERNATIONAL PVT. BANK-HYDER
Pledge Group Id : ALL
Participant Id : ALL
Account No. : ALL
Security Symbol : All Securities
From Date : 23/04/2037
To Date : 23/04/2057

Page# : 1 of 1
User : B4477001
Date : 13/10/2010
Time : 11:15:14

Pledge Group Id	Part. ID	A/C # A/C Type A/C Title	Sec.Symbol Sec. Name	Pledge Available Volume Blocked Volume	Call Available Volume Blocked Volume	Remarks	To. Part. Id To Part. Name	Reason Description
2012-12	03277	11569 CFSII ACCOUNT TITLE for right CFSIIA	CFSEC01 FIRST CHILD RIGHT SECURITY 01	0 0	5,000 0		60608 UNAR CAPITAL SECURITIES PVT LTD.	Called upon default.
2012-12	60608	509 C Muhammad Omair	MUFUND MJ SECURITY FOR OPEN ENDED FUNDS	0 0	50 0		97915 NORMAL PARTICIPANT	Test One Pledgee Call

Alternatively, the report can be saved by clicking the *'Save'* option in the *File* menu, as shown below:

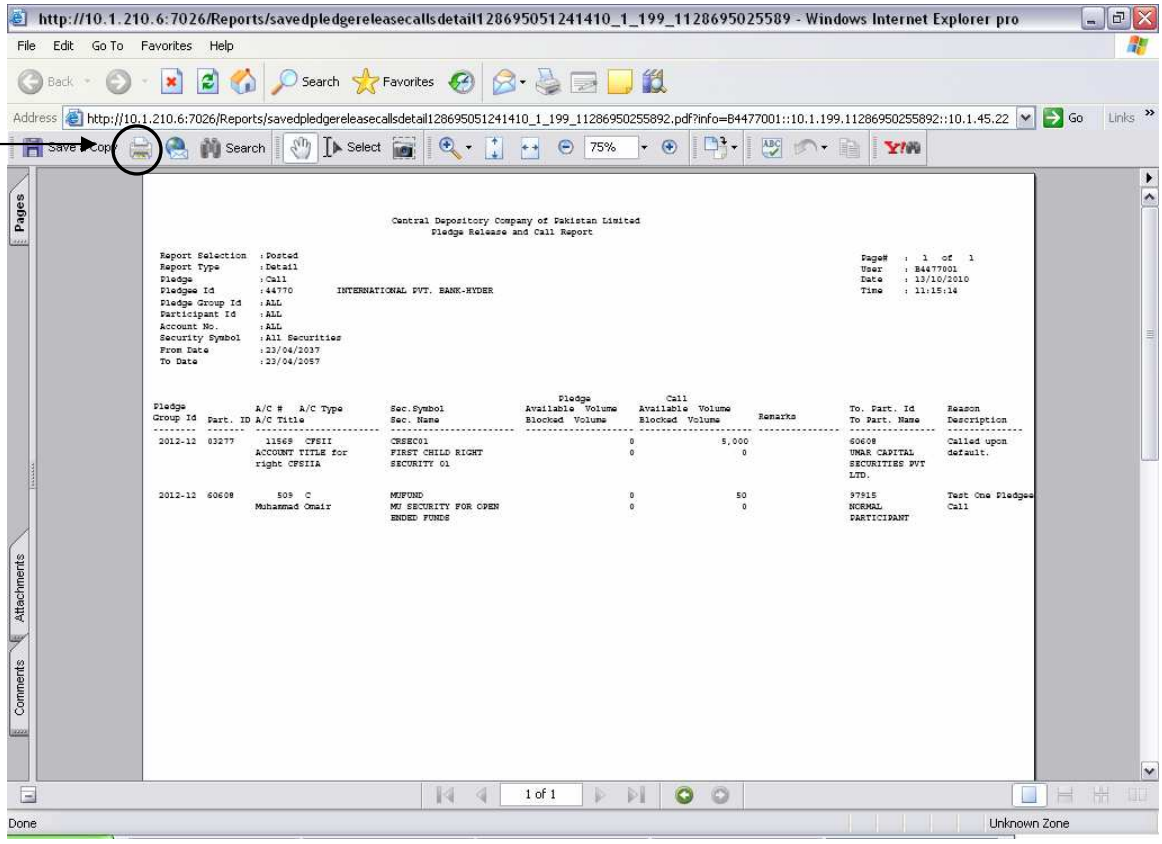
Save menu command



2.3.10.2 Report Print

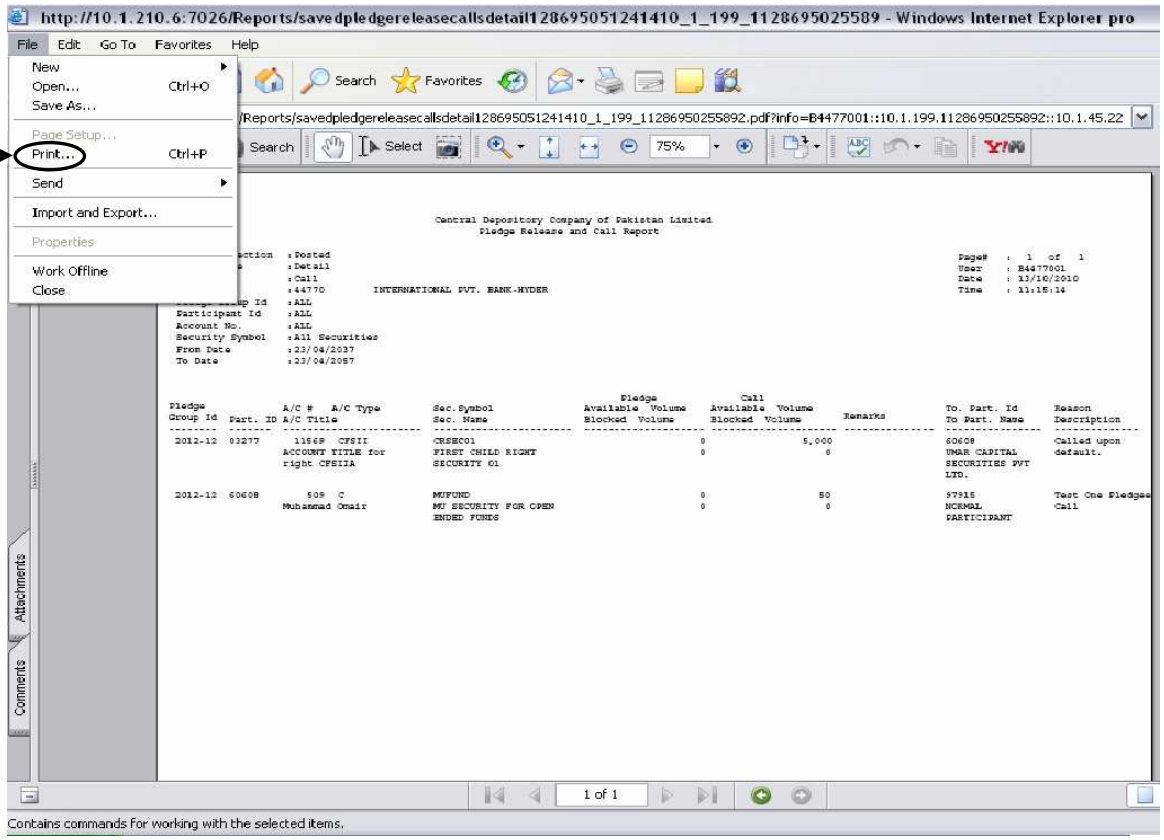
In order to print the report, the users will need to press the short-cut keys *"Ctrl+P"* on the keyboard or click the shortcut icon on the report screen, as shown below:

Shortcut icon for printing report

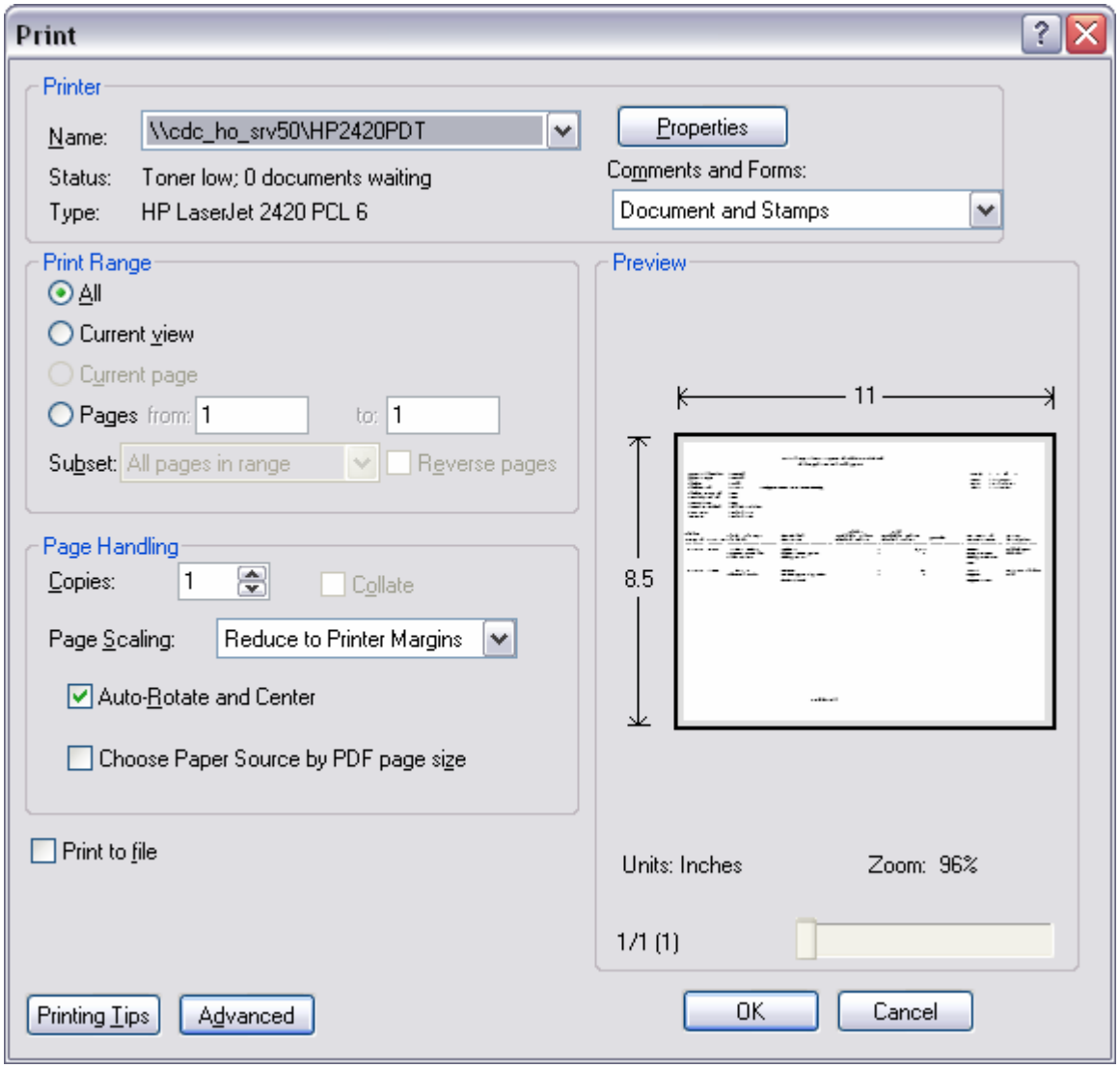

http://10.1.210.6:7026/Reports/savedpledgereleasecallsdetail128695051241410_1_199_1128695025589 - Windows Internet Explorer pro
File Edit Go To Favorites Help
Search Favorites
Address http://10.1.210.6:7026/Reports/savedpledgereleasecallsdetail128695051241410_1_199_11286950255892.pdf?info=B4477001::10.1.199.11286950255892::10.1.45.22
Go Links
Save a Copy
Search
Select
75%
Pages
Attachments
Comments
Central Depository Company of Pakistan Limited
Pledge Release and Call Report
Report Selection : Posted
Report Type : Detail
Pledge : Call
Pledgee Id : 44770 INTERNATIONAL PVT. BANK-HYDER
Pledge Group Id : ALL
Participant Id : ALL
Account No. : ALL
Security Symbol : All Securities
From Date : 23/04/2037
To Date : 23/04/2057
Page# : 1 of 1
User : B4477001
Date : 13/10/2010
Time : 11:15:14
Pledge Group Id
Part. ID
A/C # A/C Type
A/C Title
Sec.Symbol
Sec. Name
Pledge Available Volume
Pledge Blocked Volume
Call Available Volume
Call Blocked Volume
Remarks
To. Part. Id
To Part. Name
Reason Description
2012-12 03277 11569 CFSII ACCOUNT TITLE for right CFSIIA CFSEC01 FIRST CHILD RIGHT SECURITY 01 0 0 5,000 0 60608 UNAR CAPITAL SECURITIES PVT LTD. Called upon default.
2012-12 60608 509 C Muhammad Omair MUFUND MJ SECURITY FOR OPEN ENDED FUNDS 0 0 50 0 97915 NORMAL PARTICIPANT Test One Pledgee Call
1 of 1
Done
Unknown Zone

Alternatively, the report can be printed by clicking the *'Print'* option in the *File* menu, as shown below:

Print menu command



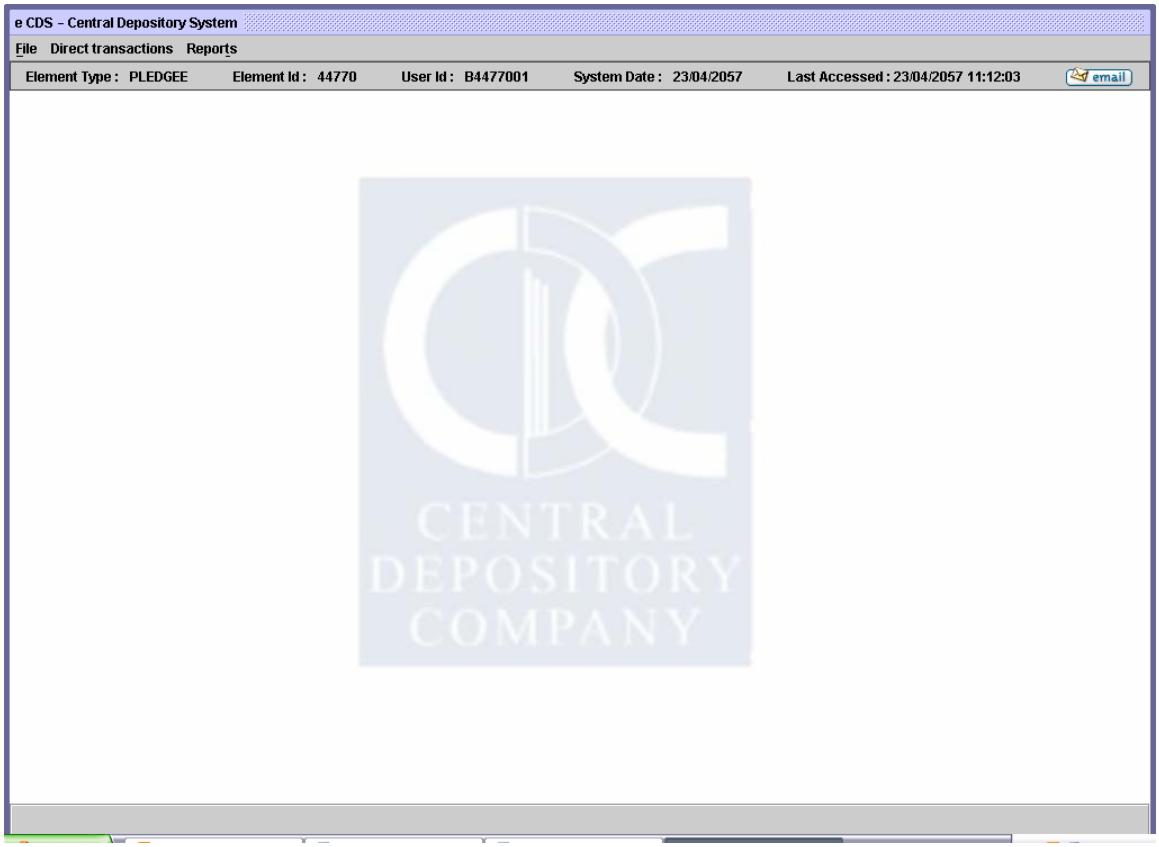
When the '*Print'* command is executed through one of the above options, the following screen appears:



User can set the printer option in this screen. 'OK' button prints the report on selected printer and '*Cancel'* button will transfer the control to the previous screen.

2.4 MAIN MENU SCREEN

As the user logs on to the system, he is presented with the Main Menu Screen. This screen displays the dropdown menus containing various options and submenus (discussed later in this manual). As shown below, this screen contains the following menus:



- File
  - Change Password
  - Logout
  - Exit
- Direct Transactions
  - Pledge
    - Pledge Call
    - Pledge Group

- Pledge Release

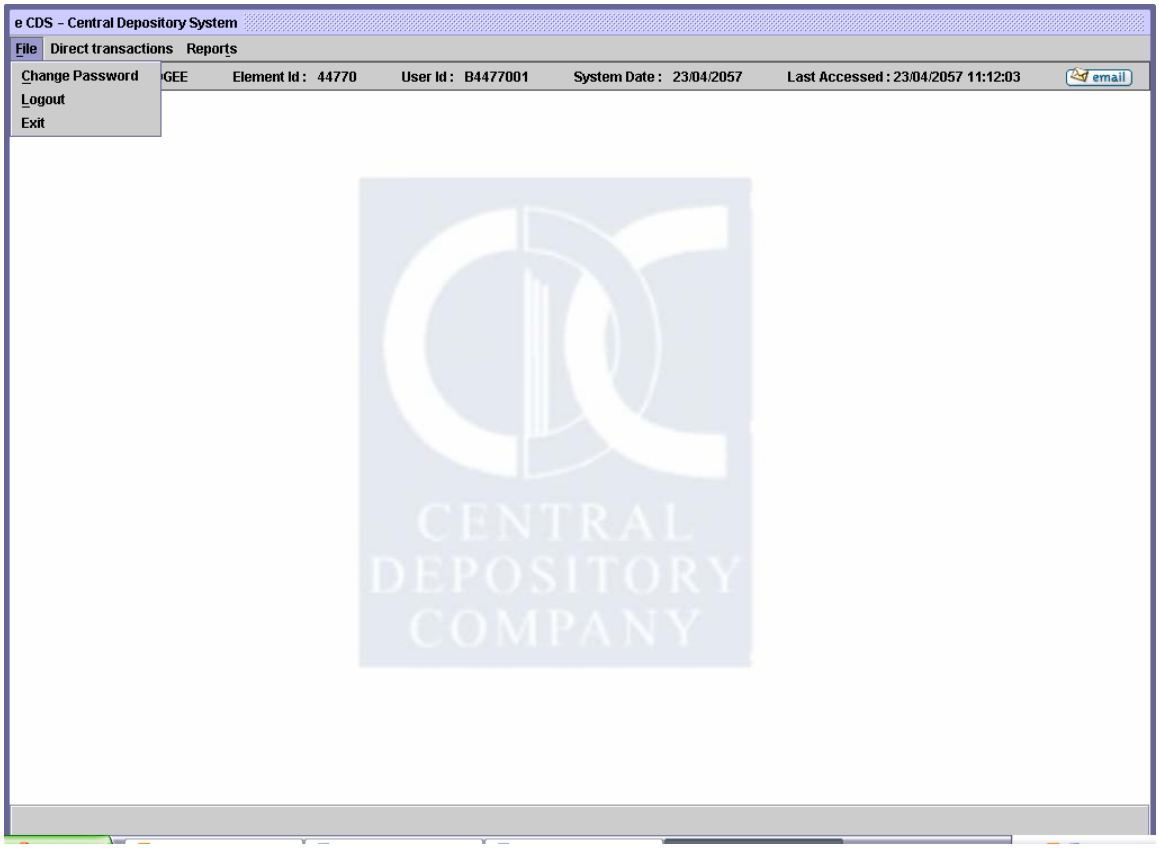
- Reports
  - Element And User Maintenance Report
    - Element Report
  - Security Maintenance Reports
    - Security List Report
    - Security Price Report
  - Pledge Reports
    - Pledge Release/call report
    - Pledge Group Report
    - Pledgee Balance/Activity Report
  - Tariff Reports
    - Billing Statement/Summary Report
  - Corporate Account Reports
    - Issuer Action Diary
  - Activity Balance Report
    - Account Activity Report
    - Account Balance Report
  - List Report
    - Transaction List Report

The horizontal bar below the menus shows the user's authorisation level, user ID, the system date and the date/time when the system was last accessed by the user.

The subsequent chapters of this manual explain in detail each of the options available on the main menus and their respective submenus. In order to facilitate ease of reference, the headings used, correspond as far as possible, to the order in which the available options appear on the various menus.

3 FILE MENU

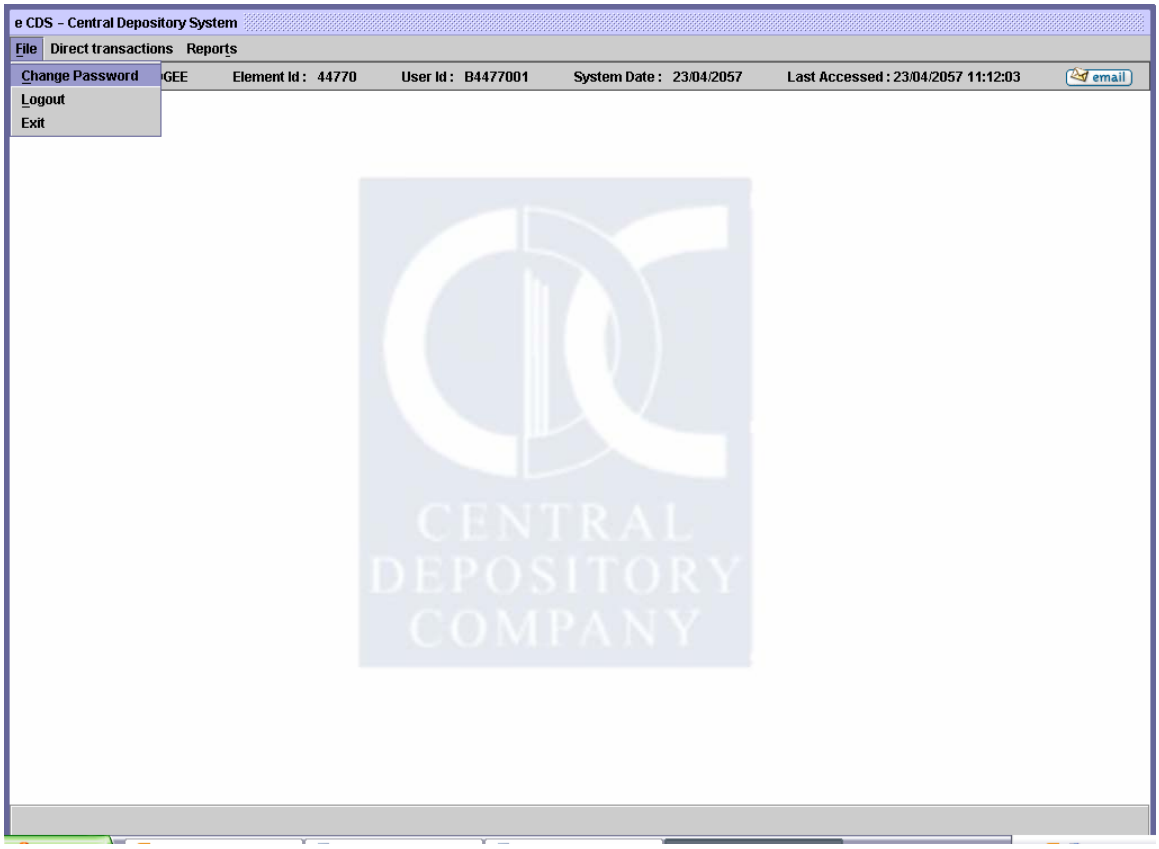
The File menu is the first menu on the main screen of the CDS application. This menu provides the user with some basic functions related to the application. These are:



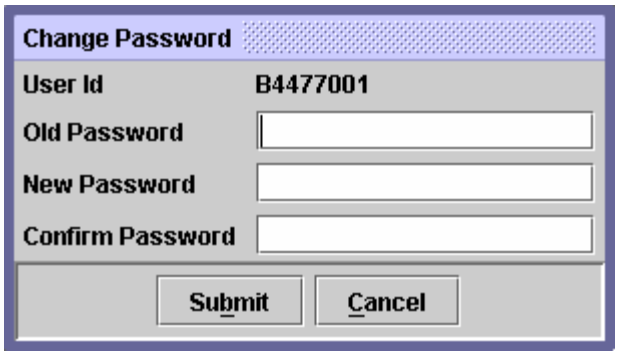
- **File**
  - Change Password
  - Logout
  - Exit

3.1 CHANGING PASSWORD

After the initial change of the password as explained in the chapter "Getting Started", the user may change the password whenever he feels appropriate in order to maintain proper security of CDS access. The *Change Password* option on the File Menu allows the user to change an existing password and replace it with a new one. This option in the File menu is shown below:



When the user clicks the *Change Password* option in the File menu on the above screen he is presented with the following screen:

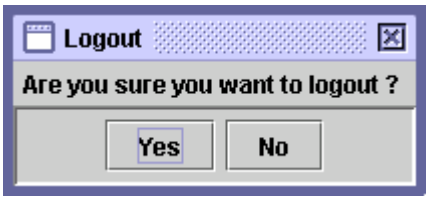


To change the password the user has to follow the procedure given below:

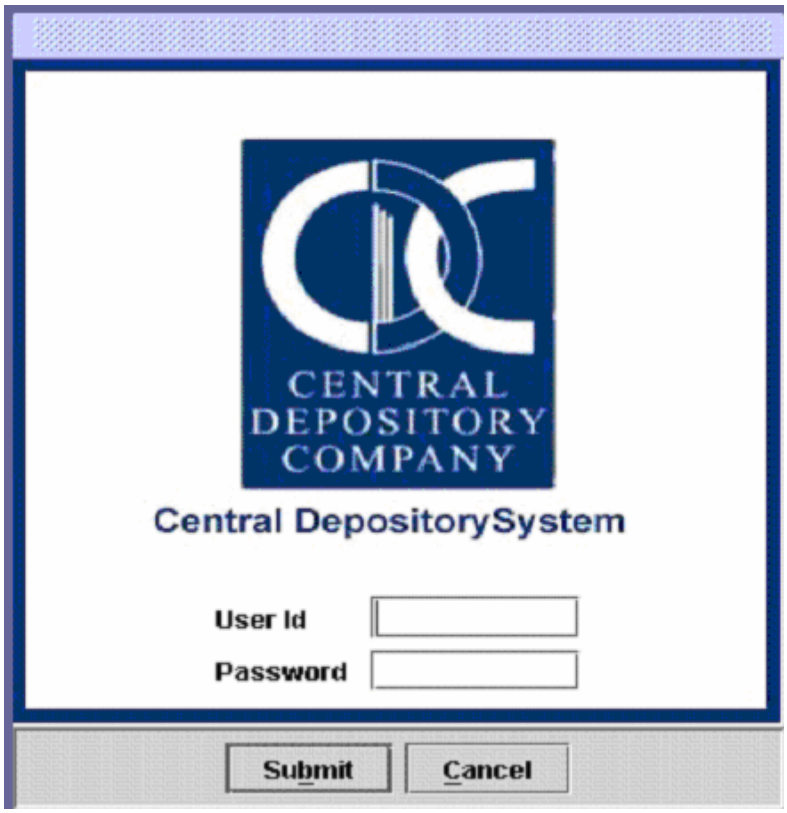
1. Type the old/previous password.
2. Press Tab to move into the *New Password* field and type the new password as per the current password policy set by the CDS administrator.
3. Press Tab to move into *confirm password* field and re-enter the new password.
4. Click *Submit* to commit the changes.

3.2 LOGGING OUT OF THE APPLICATION

In order to logout of CDS, the user will have to click the *'Log out'* option on the File menu. As the user clicks the Log out option, the system generates the following confirmation message:



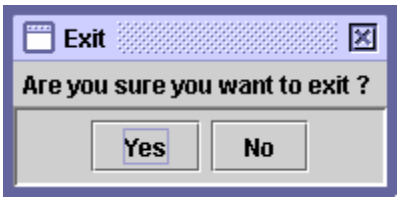
Clicking the *'No'* button will cause the message screen to disappear and the user will be taken back to the main menu screen of the system. Clicking the *'Yes'* button logs the user out of the application and takes him back to the CDS login screen, shown below:



The log out option is useful if the user desires to log out of the application so that another user can login to the application without having to wait for the system to load once again.

3.3 EXITING FROM THE SYSTEM

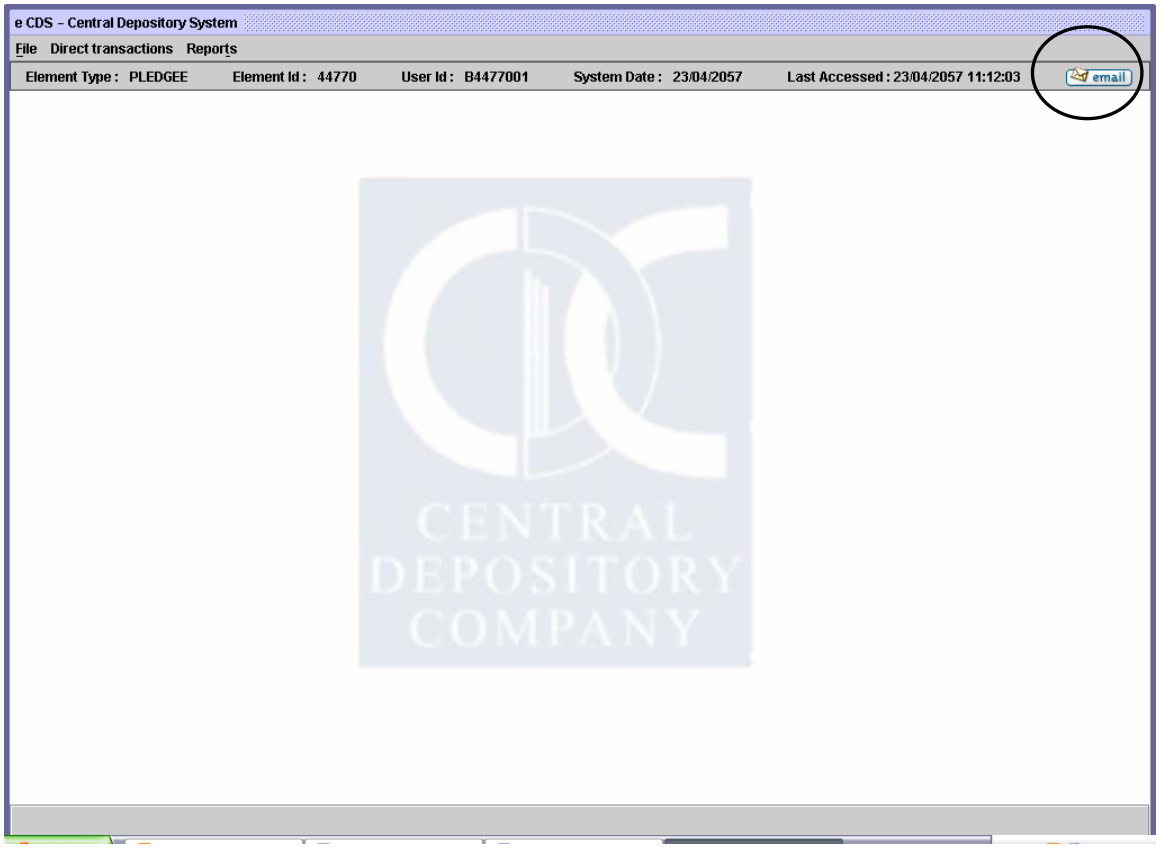
The user can close the CDS application by clicking the *'Exit'* option on the File menu. Clicking the Exit option will generate the following confirmation message:



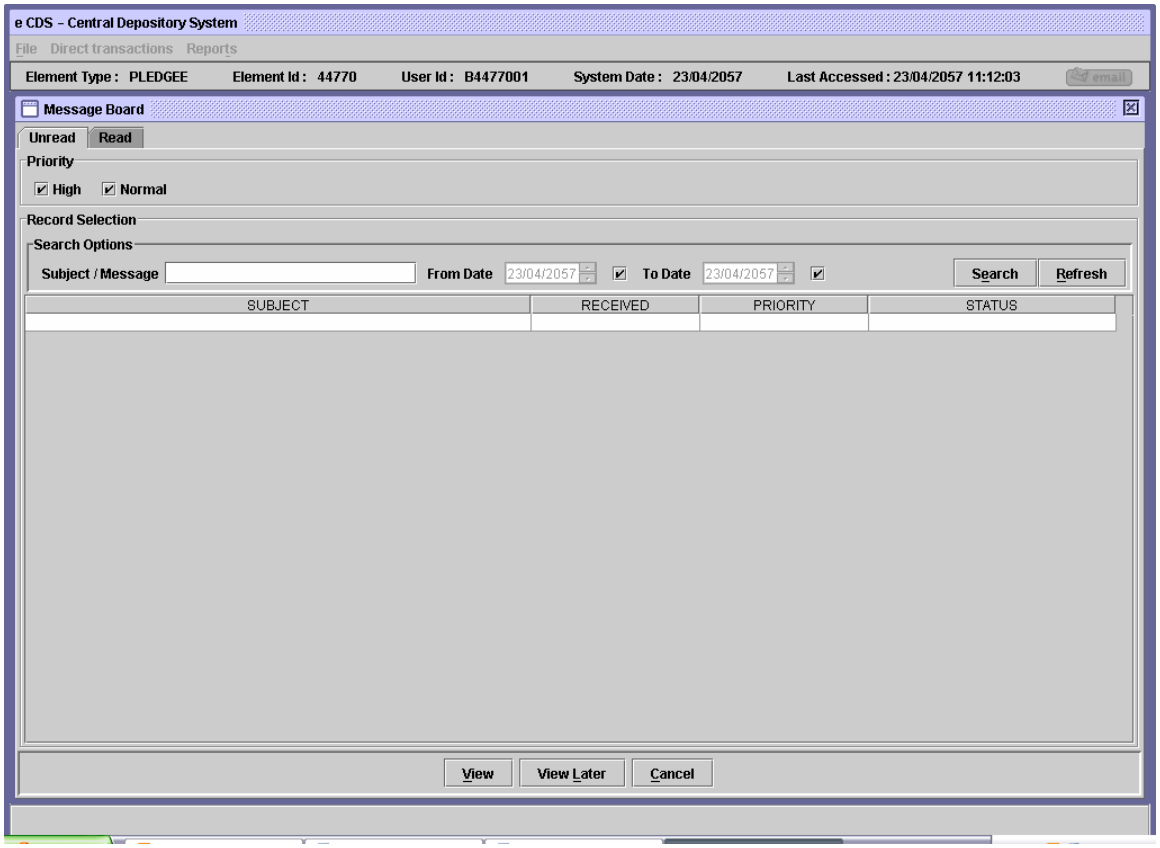
Clicking the *'No'* button will cause the message screen to disappear and the user will be taken back to the main menu screen of the system. Clicking the *'Yes'* button will close the application. If a user wants to login to the system again, he will once again have to load the application.

4 MESSAGE VIEWING FACILITY

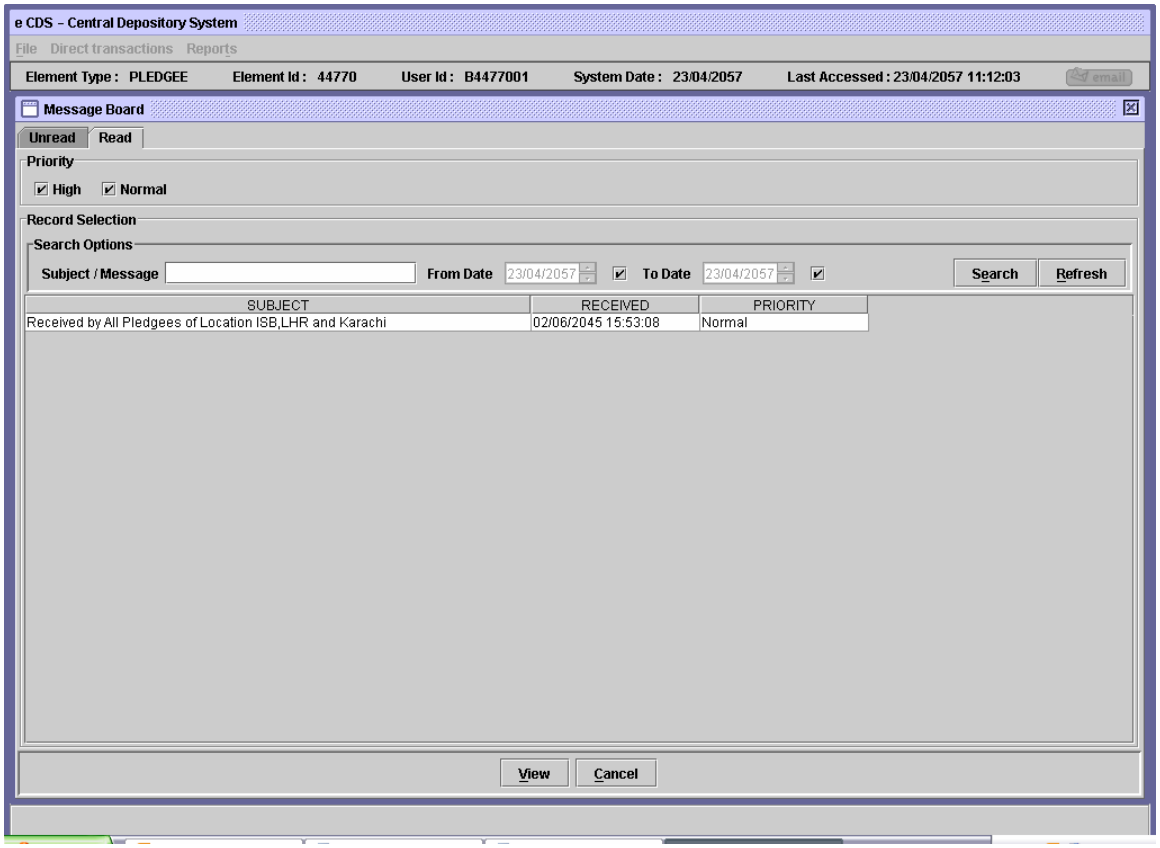
Notices and Circulars sent by CDC from time to time to their Elements can be viewed from the Central Depository System. The Message Viewing Facility is provided to the recipients to view the messages at the time of login or during other activities in CDS. The message can be viewed by clicking the email icon, visible on the upper right corner of the screen, as shown in the below screen:


e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE
Element Id : 44770
User Id : B4477001
System Date : 23/04/2057
Last Accessed : 23/04/2057 11:12:03
email

When the user clicks the 'Email' option, the following screen is displayed:


e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 23/04/2057 Last Accessed : 23/04/2057 11:12:03
Message Board
Unread Read
Priority
High Normal
Record Selection
Search Options
Subject / Message From Date 23/04/2057 To Date 23/04/2057 Search Refresh
SUBJECT RECEIVED PRIORITY STATUS
View View Later Cancel

The Message Board screen contains two tabs, '*Unread'* and '*Read' by* default the *'Unread'* tab is selected on the Message Board screen, which displays all the unread messages. '*Read'* displays all the read messages, as shown below:


e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 23/04/2057 Last Accessed : 23/04/2057 11:12:03
email
Message Board
Unread Read
Priority
High Normal
Record Selection
Search Options
Subject / Message From Date 23/04/2057 To Date 23/04/2057 Search Refresh
SUBJECT RECEIVED PRIORITY
Received by All Pledgees of Location ISB,LHR and Karachi 02/06/2045 15:53:08 Normal
View Cancel

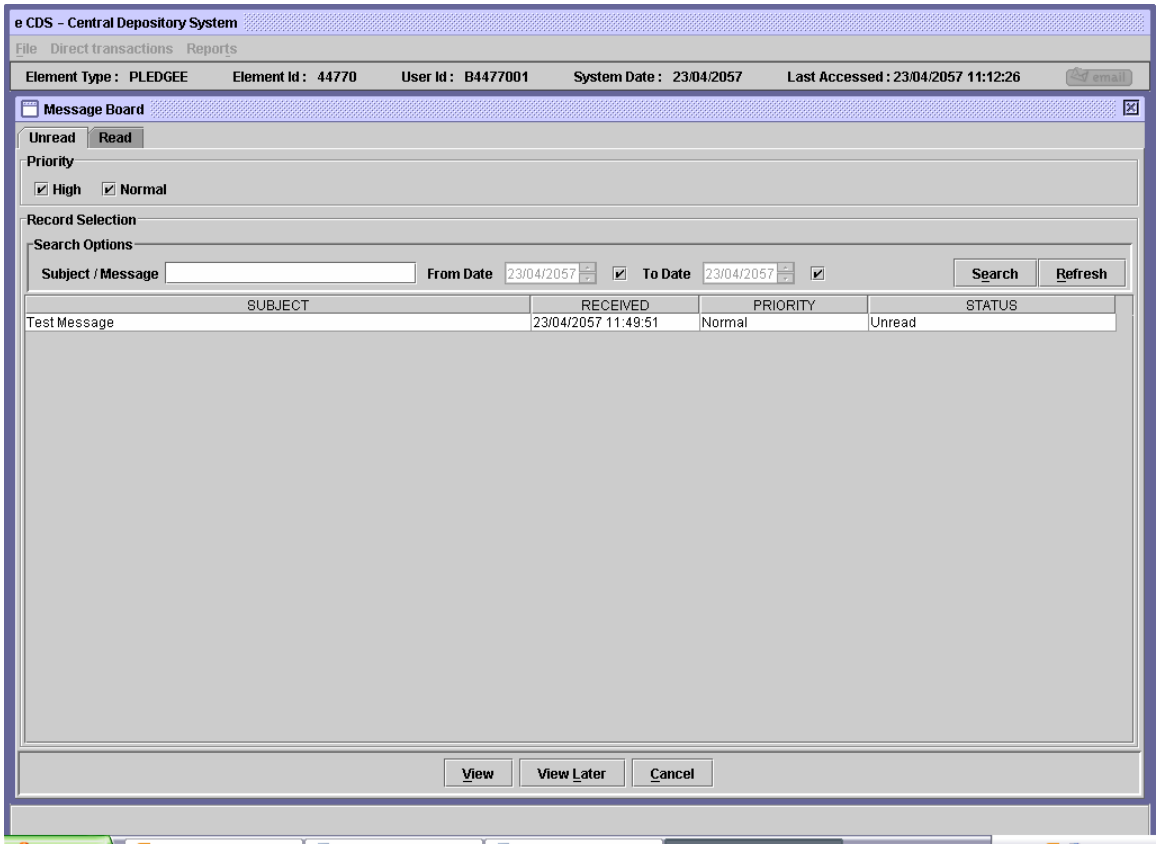
User can enter subject of the message, from date, to date, priority in the search panel and press the search button to display the required messages in the scrolling table.

To view the complete message details, user selects the desired message from the scrolling table and then clicks the '*View'* button.

Clicking the '*Cancel'* button will take the user to the Main Menu Screen.

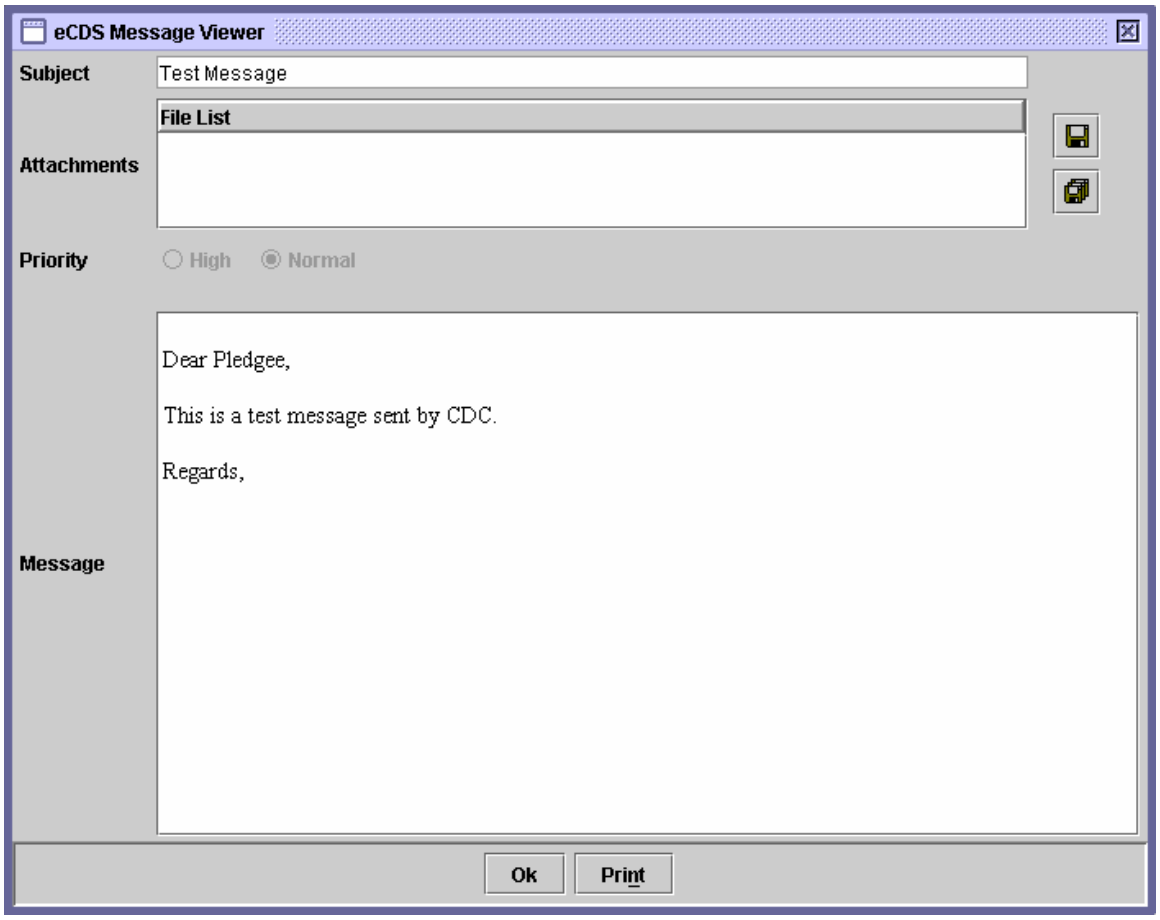
If user wants to read any message at a later stage then user selects the relevant message and clicks the '*View Later'* button. Clicking the 'View Later' button will take the user to the Main Menu screen.

At the time of login, if any message(s) exists which is not yet read or marked as View Later by user earlier during last login then after again login, the user will be directed to the message board Unread browser screen, as shown below:


e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 23/04/2057 Last Accessed : 23/04/2057 11:12:26
Message Board
Unread Read
Priority
High Normal
Record Selection
Search Options
Subject / Message From Date 23/04/2057 To Date 23/04/2057 Search Refresh
SUBJECT RECEIVED PRIORITY STATUS
Test Message 23/04/2057 11:49:51 Normal Unread
View View Later Cancel

At the time of login, the user is forced to read the message by clicking '*View'* button or mark the messages as '*View Later'* button. If the user presses '*Cancel'* button without view/view later then the following message will be displayed by the system:

Clicking the '*View'* button after selecting a particular message displays the following message viewer.



Subject The 'Subject' of the message sent by CDC.

Attachments Attachments, if any, sent by CDC along with the message.

Save / Save All Provision is available adjacent to the Attachment field to either save or save all the attachments.

Priority Priority reflects the importance of the message as set by CDC.

Message The browser displays the body text of the message.

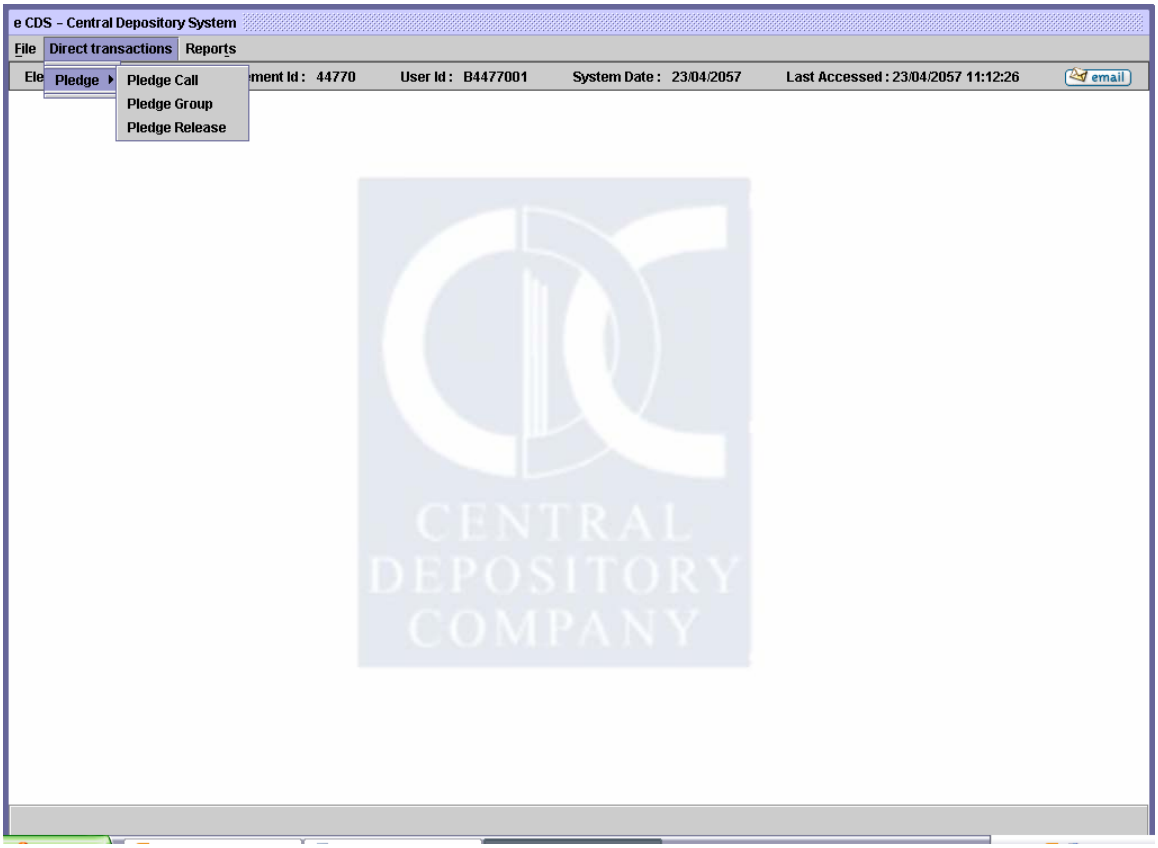
OK	Clicking the 'OK' button closes the message viewer and redirects the user to the message board.
Print	Clicking the 'Print' button enables the user to print the message via internet explorer.

5 DIRECT TRANSACTIONS

An account holder or a participant, acting either on his own behalf or on behalf of his client, can place securities under pledge to an Eligible Pledgee. Placing securities under pledge results in the securities being flagged as no longer available for delivery until such time as they are released from pledge or transferred (called) on the instructions of the Eligible Pledgee to the account of another account holder/participant.

Securities, which have been pledged, can be taken possession of (called) at any time by the Eligible Pledgee. The Depository does not require the eligible pledgee to establish that the borrower has defaulted or otherwise created a condition under the contract whereby the pledged securities can be called. Where a sub-account number or investor account number has been mentioned on the Pledge Form (i.e. where the sub-account number or investor account number field on the form is not blank), it is assumed that the sub-account holder is the Pledgor.

When the user clicks or otherwise selects the Pledge menu item under the Direct Transactions menu, a submenu containing the following options is displayed:



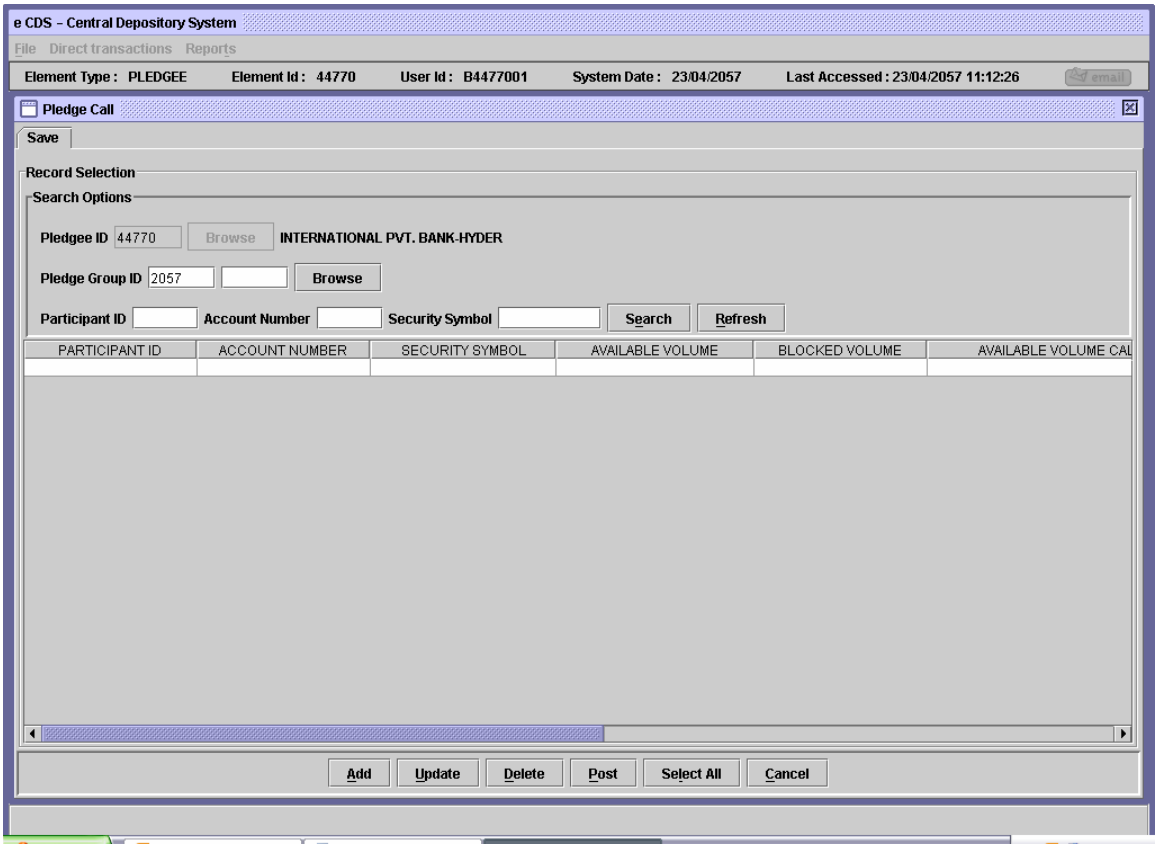
The menu contains the following options:

- **Pledge**
  - Pledge Call
  - Pledge Group
  - Pledge Release

Detailed explanations of the above menu option are included in this chapter. Wherever considered appropriate, the above menu items have been grouped together under logical headings based on the overall area of CDS functionality they deal with.

4.1 PLEDGE CALL

This transaction is used to call securities under pledge in the CDS. When the user clicks on the *Pledge Call* option in the Pledge menu, the following screen is displayed:


e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 23/04/2057 Last Accessed : 23/04/2057 11:12:26
email
Pledge Call
Save
Record Selection
Search Options
Pledgee ID 44770 Browse INTERNATIONAL PVT. BANK-HYDER
Pledge Group ID 2057 Browse
Participant ID Account Number Security Symbol Search Refresh
PARTICIPANT ID
ACCOUNT NUMBER
SECURITY SYMBOL
AVAILABLE VOLUME
BLOCKED VOLUME
AVAILABLE VOLUME CAL
Add Update Delete Post Select All Cancel

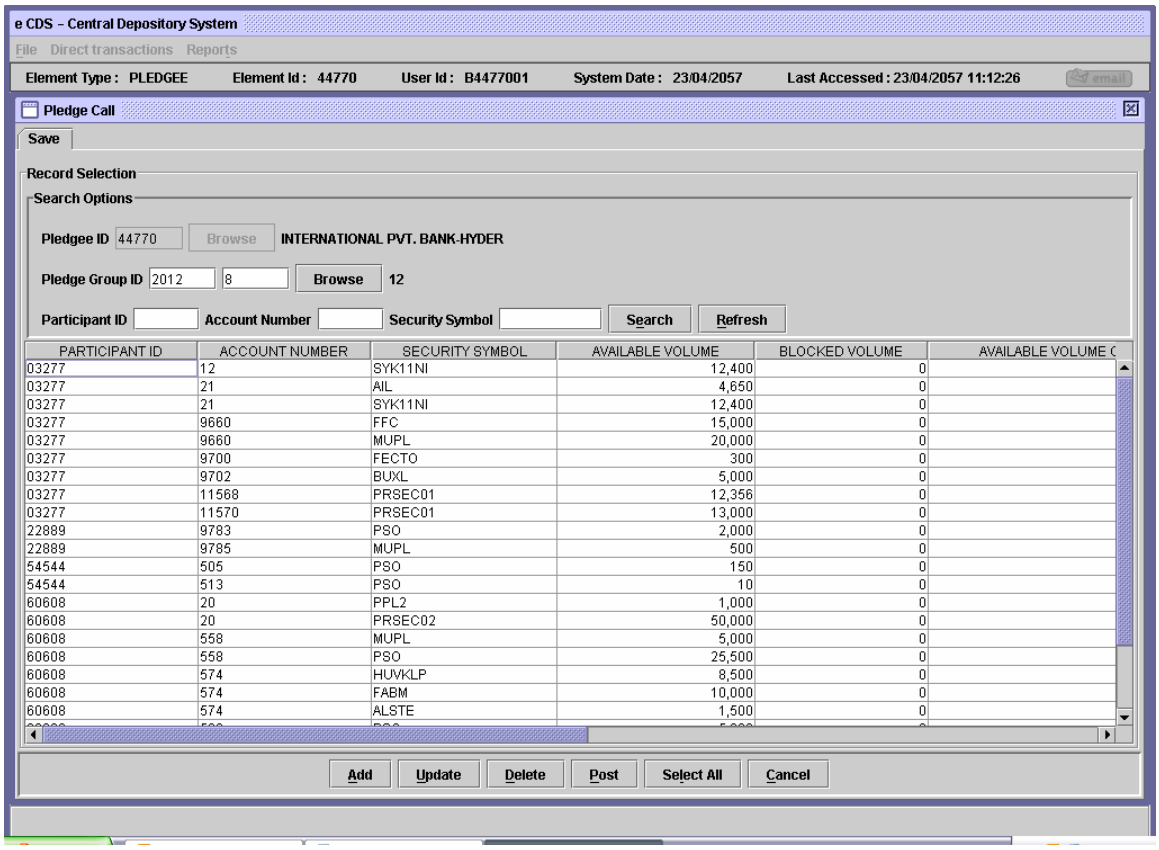
This screen is used for calling the pledged securities into another account.

Pledgee ID is automatically entered in the field by the system and the user is not allowed to change it. He/she is required to enter the Pledge Group ID relating to the Pledge being processed. There is a *'Browse'* button enabling the user to find the correct Pledge Group ID from a look up table in case the user does not remember it.

The screen also provides the user with search options to find the pledge transactions on the basis of Participant ID, Account Number and/or Security

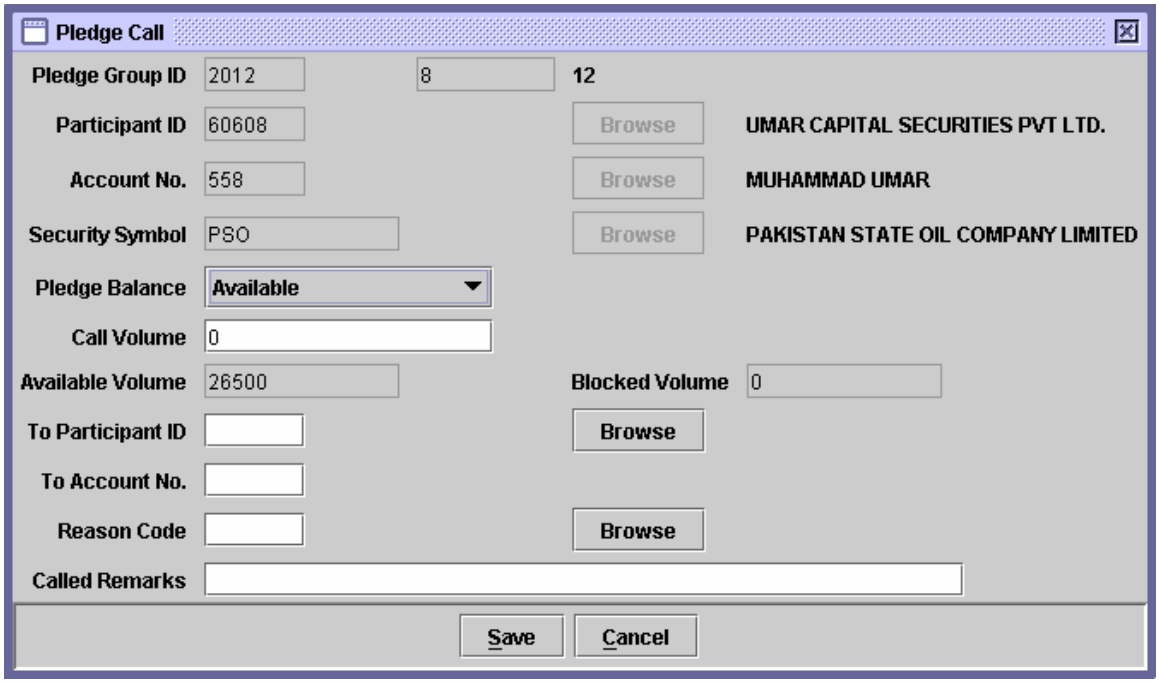
Symbol. After entering any or all of these details, clicking the 'Search' button returns the records matching the given criteria in the scrolling table. However, the user must enter a valid Pledge Group ID before searching for a record, otherwise the system will generate the following error message:

As soon as the tab button is pressed after entering a valid Pledge Group ID, all securities pledged under that Group for the Pledgee ID logged in are displayed in the scrolling table of the screen as shown below:


e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 23/04/2057 Last Accessed : 23/04/2057 11:12:26
Pledge Call
Save
Record Selection
Search Options
Pledgee ID 44770 Browse INTERNATIONAL PVT. BANK-HYDER
Pledge Group ID 2012 8 Browse 12
Participant ID Account Number Security Symbol Search Refresh
PARTICIPANT ID ACCOUNT NUMBER SECURITY SYMBOL AVAILABLE VOLUME BLOCKED VOLUME
03277 12 SYK11NI 12,400 0
03277 21 AIL 4,650 0
03277 21 SYK11NI 12,400 0
03277 9660 FFC 15,000 0
03277 9660 MUPL 20,000 0
03277 9700 FECTO 300 0
03277 9702 BUXL 5,000 0
03277 11568 PRSEC01 12,356 0
03277 11570 PRSEC01 13,000 0
22889 9783 PSO 2,000 0
22889 9785 MUPL 500 0
54544 505 PSO 150 0
54544 513 PSO 10 0
60608 20 PPL2 1,000 0
60608 20 PRSEC02 50,000 0
60608 558 MUPL 5,000 0
60608 558 PSO 25,500 0
60608 574 HUVKLP 8,500 0
60608 574 FABM 10,000 0
60608 574 ALSTE 1,500 0
Add Update Delete Post Select All Cancel

4.1.1 Add Mode

To *Call* a pledged security, the user selects the pledge record from the scrolling table in the above screen and clicks the *'Add'* button. This opens up the following screen:



If the *'Add'* button is clicked without selecting a record from the scrolling table, the system displays the following message:

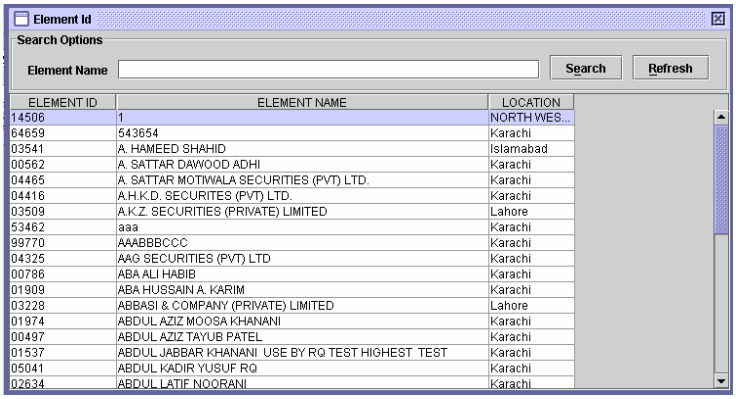
The above screen shows the 'Available' and 'Blocked' pledge volume below the 'Call Volume' field.

The Pledge Group ID, Participant ID, Account No., Security Symbol, Available Volume and Blocked Volume fields are hard coded on the Pledge Call screen and cannot be changed by the user. The data to be entered in the input fields displayed in the lower portion is as follows:

* **Pledge Balance** This combo box is used to specify whether the pledged securities are to be called from the available balance or from the blocked balance of the pledged securities.

* **Call Volume** The number of securities/units of the security which are to be called.

* **To Participant ID** Participant ID to whom securities are going to be called. A 'Browse' button is provided to enable the user to select a valid Participant ID in case the user does not remember it.

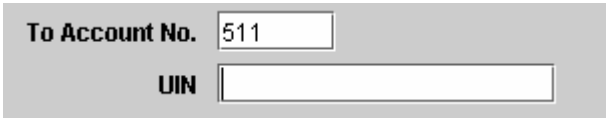

Element Id
Search Options
Element Name
Search
Refresh
ELEMENT ID
ELEMENT NAME
LOCATION
14506 1 NORTH WES...
64659 543654 Karachi
03541 A. HAMEED SHAHID Islamabad
00562 A. SATTAR DAWOOD ADHI Karachi
04465 A. SATTAR MOTIWALA SECURITIES (PVT) LTD. Karachi
04416 A.H.K.D. SECURITES (PVT) LTD. Karachi
03509 A.K.Z. SECURITIES (PRIVATE) LIMITED Lahore
53462 aaa Karachi
99770 AAABBBCCC Karachi
04325 AAG SECURITIES (PVT) LTD Karachi
00786 ABA ALI HABIB Karachi
01909 ABA HUSSAIN A. KARIM Karachi
03228 ABBASI & COMPANY (PRIVATE) LIMITED Lahore
01974 ABDUL AZIZ MOOSA KHANANI Karachi
00497 ABDUL AZIZ TAYUB PATEL Karachi
01537 ABDUL JABBAR KHANANI USE BY RQ TEST HIGHEST TEST Karachi
05041 ABDUL KADIR YUSUF RQ Karachi
02634 ABDUL LATIF NOORANI Karachi

Searching option in the lookup table includes Element Name. User can either enter the element name or simply select the desired element ID from the scroll table and double click on it.

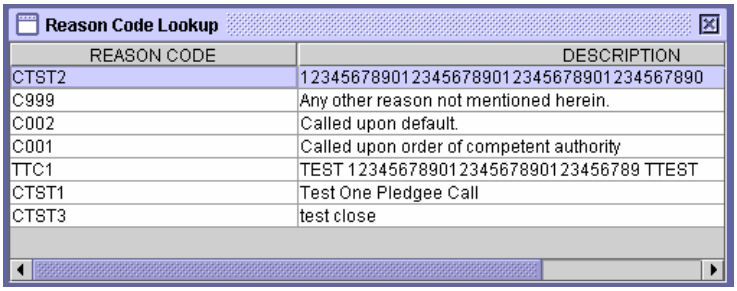
* **Account Number** The Account Number to which the securities are being called. User has to input a valid Account Number in this field.

* **UIN** The UIN number of the To Account Number. On entering valid To Account Number, system enables UIN number field beneath the To Account Number field, as shown below, and the user is required to enter valid UIN

number. On entering valid UIN number, the Account Title of the To Account Number will be displayed.



* **Reason Code** The reason code for the transaction. The *'Browse'* button next to the field provides the user with a lookup table of valid Reason Codes to help the user in case the user cannot remember the correct code.



* **Called Remarks** Such remark which the user considers necessary.

After entering the above data, if the *'Save'* button is clicked, the details are added to the scrolling table on the Pledge Call screen.

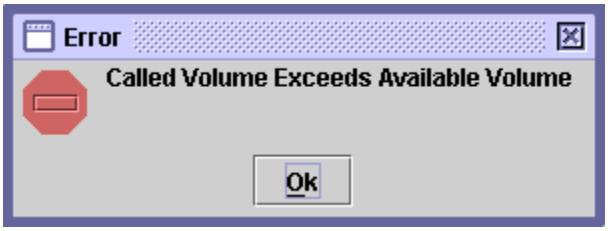
If the Save button is clicked while the Call Volume field is blank, the system generates the following message:

If the Save button is clicked without entering a Participant ID, the system generates the following message:

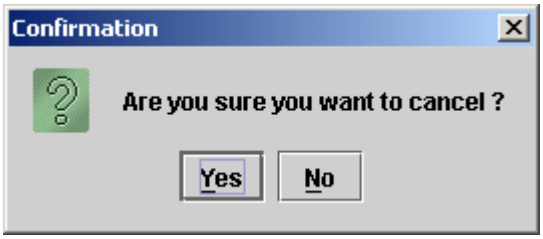
If the Save button is clicked without entering a valid Reason Code, the system generates the following message:

If the Save button is clicked without entering a valid Call Volume, the system generates the following message:

If the call volume exceeds the pledge volume, the system displays the following message:

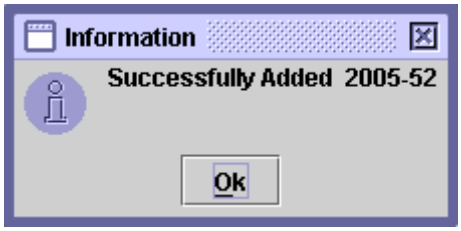


Clicking the *'Cancel'* button generates the following message:



Clicking the *'Yes'* button closes the screen without adding the Pledge Call transaction while clicking the *'No'* button closes the message window.

As the pledge call transaction is added successfully using the Save button, the system generates the following message:

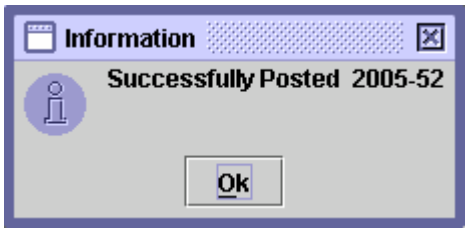


Clicking the *'Ok'* button updates the scrolling table by adding the number of called securities in the "Available Volume Called" and/or "Blocked Volume Called" columns so as to reflect the Pledge Call transaction.

4.1.2 Post Mode

In order to post the Pledge Call transaction, the user would select the record to be posted from the scrolling table and click the *'Post'* button. This will generate the following confirmation message:

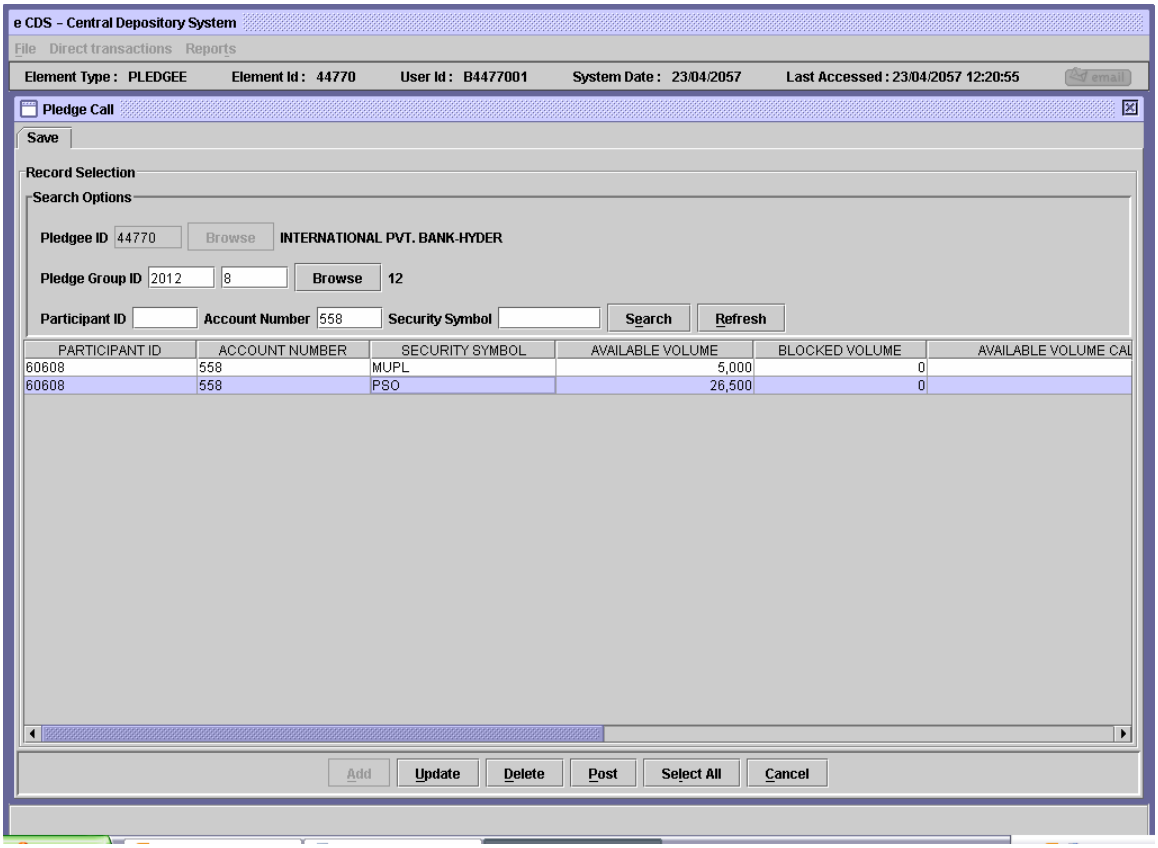
If the user clicks the *'No'* button, the message box will be closed and the Pledge Call transaction will not be posted. If the user clicks the *'Yes'* button, the Pledge Call transaction will be posted and the system will generate the following message:



Clicking the 'Ok' button will update the "Available Volume" and/or "Blocked Volume" column(s) of the scrolling table to reflect the pledge call.

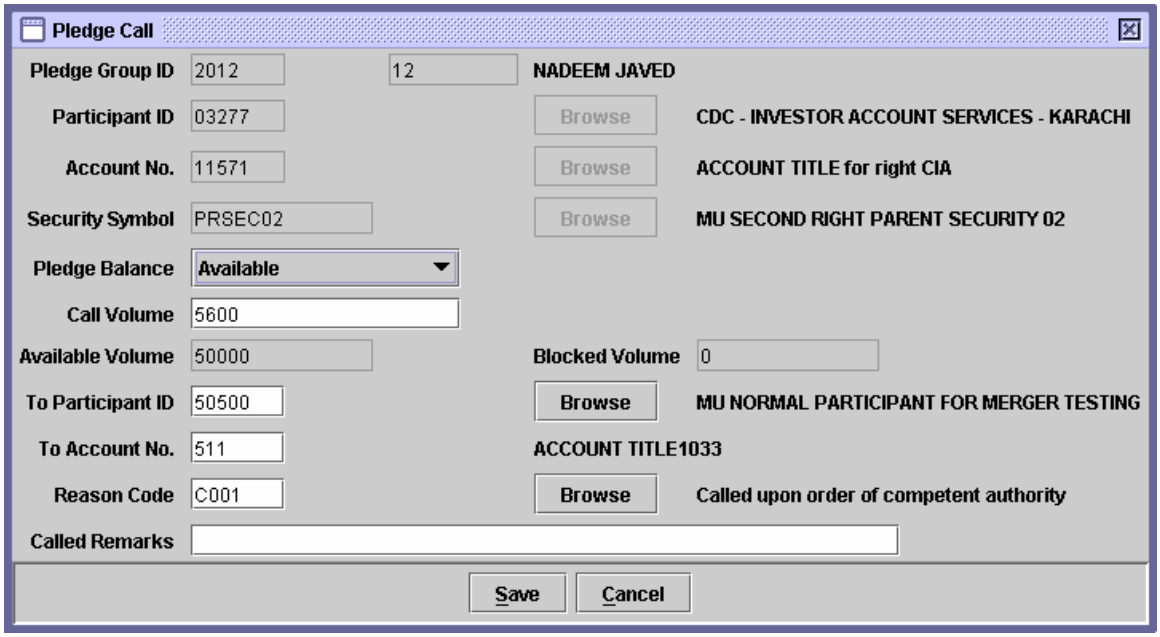
4.1.3 Update Mode

The *Update* button is enabled only when a Pledge Call transaction has been added but not yet posted. If the user desires to update a Pledge Call transaction, which has not yet been posted, the user will have to press the '*Update'* button on the Pledge Call screen, shown below:


e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 23/04/2057 Last Accessed : 23/04/2057 12:20:55
Pledge Call
Save
Record Selection
Search Options
Pledgee ID 44770 Browse INTERNATIONAL PVT. BANK-HYDER
Pledge Group ID 2012 8 Browse 12
Participant ID Account Number 558 Security Symbol Search Refresh
PARTICIPANT ID ACCOUNT NUMBER SECURITY SYMBOL AVAILABLE VOLUME BLOCKED VOLUME AVAILABLE VOLUME CAL
60608 558 MUPL 5,000 0
60608 558 PSO 26,500 0
Add Update Delete Post Select All Cancel

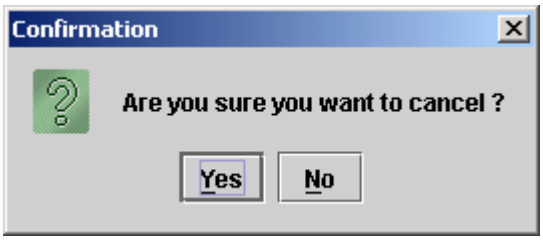
As shown above, selecting such a transaction from the scrolling table will disable the Add button implying that until a Pledge Call transaction has been posted or deleted, another Pledge Call transaction can not be added for the same pledge.

Clicking the *'Update'* button opens up the following screen in which the user can update the Pledge Call transaction:



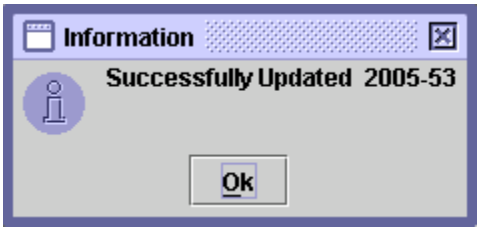
In the above screen, Pledge Balance, Call Volume, To Participant ID, To Account No. (only in case of To IAS Participant) Reason Code and Called Remarks fields can be updated.

Clicking the *'Cancel'* button generates the following confirmation message:



Clicking the *'Yes'* button closes the screen without updating the Pledge Call transaction while clicking the *'No'* button closes the message window.

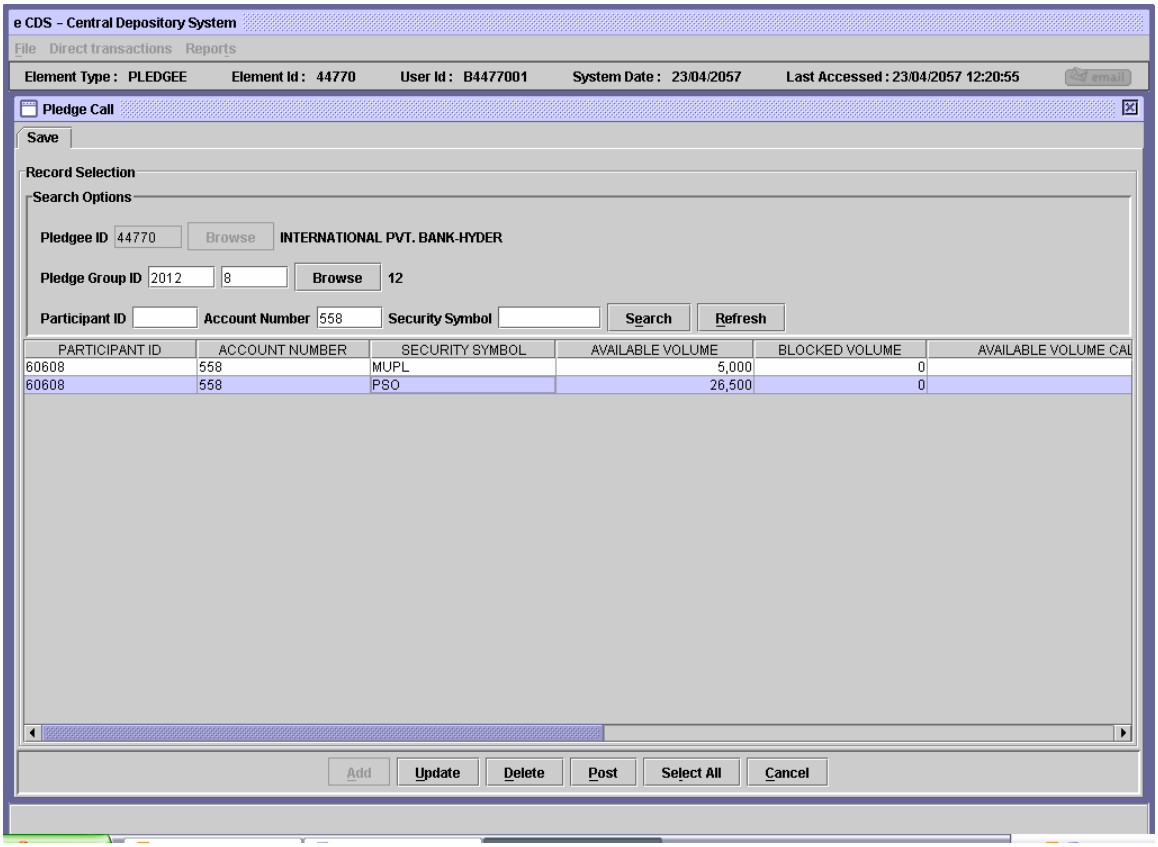
When the Pledge Call transaction is successfully updated, the system generates the following message:



The procedure for posting the Pledge Call update is the same as posting a Pledge Call add transaction explained above.

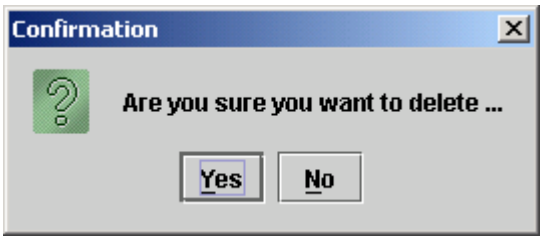
4.1.4 Delete Mode

The *Delete* button is enabled only when a Pledge Call transaction has been added but not yet posted. If the user desires to delete a Pledge Call transaction, which has not yet been posted, the user will have to press the '*Delete'* button on the Pledge Call screen, shown below:

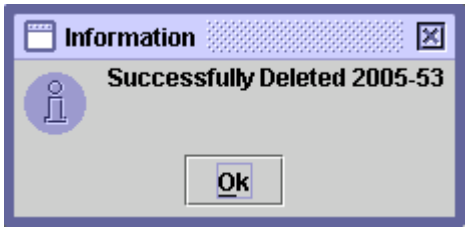

e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 23/04/2057 Last Accessed : 23/04/2057 12:20:55
Pledge Call
Save
Record Selection
Search Options
Pledgee ID 44770 Browse INTERNATIONAL PVT. BANK-HYDER
Pledge Group ID 2012 8 Browse 12
Participant ID Account Number 558 Security Symbol Search Refresh
PARTICIPANT ID ACCOUNT NUMBER SECURITY SYMBOL AVAILABLE VOLUME BLOCKED VOLUME AVAILABLE VOLUME CAL
60608 558 MUPL 5,000 0
60608 558 PSO 26,500 0
Add Update Delete Post Select All Cancel

As shown above, selecting such a transaction from the scrolling table will disable the Add button implying that until a Pledge Call transaction has been posted or deleted, another Pledge Call transaction can not be added for the same pledge.

Clicking the *'Delete'* button generates the following confirmation message:



The above screen will close down without deleting the Pledge Call transaction by clicking the *'No'* button. Clicking the *'Yes'* button deletes the Pledge Call transaction and generates the following message:



As soon as the *'Ok'* button is clicked; the data in the Available Volume Called column is updated to reflect the completion of the delete operation.

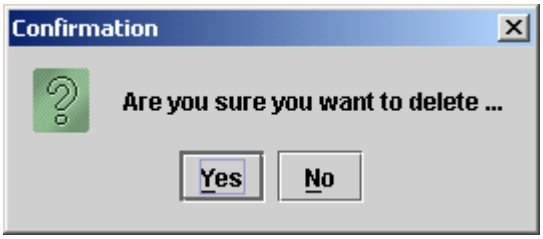
4.1.5 Select All

All Pledge Call transactions can be posted or deleted at the same time by first clicking the *'Select All'* button and then the 'Post' or 'Delete' button as desired.

If the *'Post'* button is clicked the system will display the following confirmation message:

Clicking '*Yes'* will post the transactions, *'No'* exits without making any changes. As the transactions are posted, the system will update the balances in the scrolling table to reflect the completed post operation.

Similarly if the *'Delete'* button is pressed after selecting all the transaction in the scrolling table using the *'Select All'* button, the system will generate the following confirmation message:

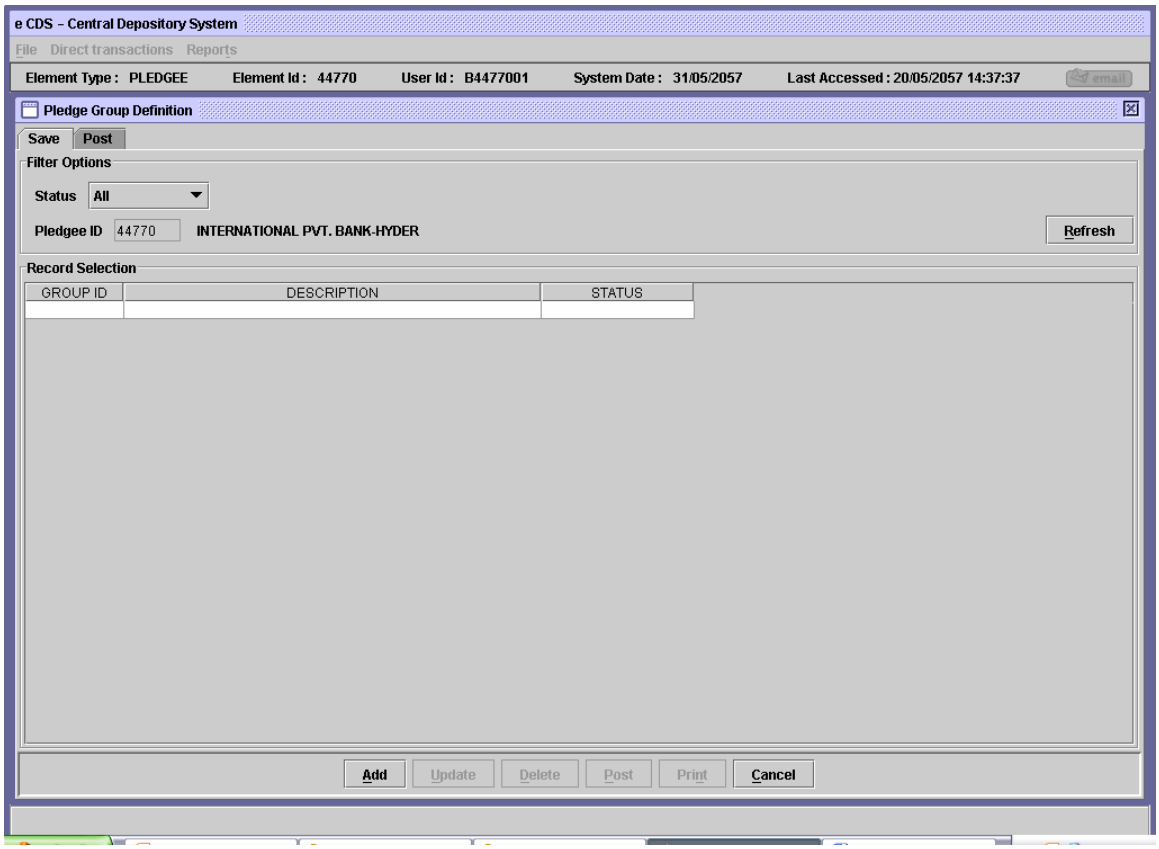


Clicking '*Yes'* will delete the transactions, *'No'* exits without making any changes. Further, if the *'Post'* button is clicked while there are no Pledge Call Transactions to be posted, the system generates the following message:

4.2 PLEDGE GROUP

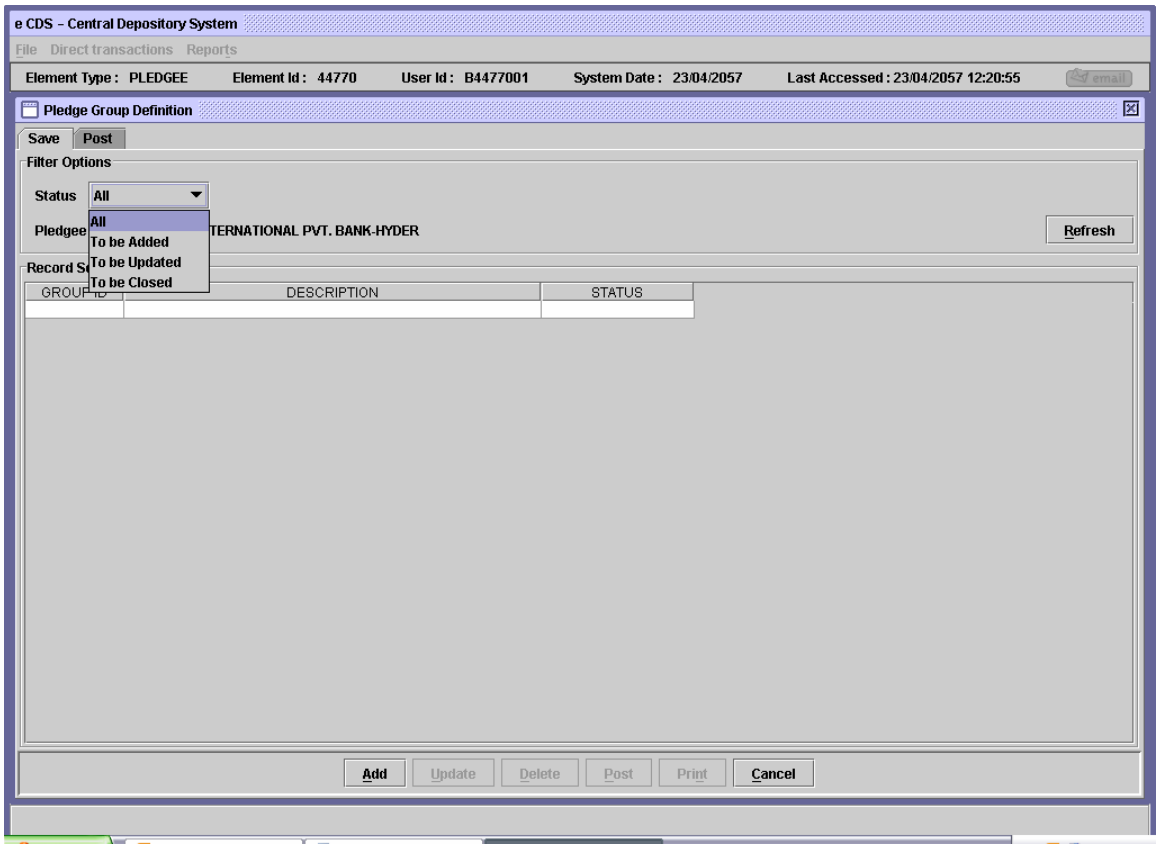
A Pledge Group is a pre-requisite for executing a Pledge Transaction. The Pledge Group transaction is used to add, update or delete/close a Pledge Group. All pledge transactions made by a particular pledgee with one or more pledgors can be covered by one group. Thus a pledgee can, if it so desire, open a separate group for each branch or group of branches authorised to execute pledge transactions with clients.

When the user clicks the *Pledge Group* option in the Pledge menu, the following screen is displayed:


e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 31/05/2057 Last Accessed : 20/05/2057 14:37:37
email
Pledge Group Definition
Save Post
Filter Options
Status All
Pledgee ID 44770 INTERNATIONAL PVT. BANK-HYDER
Refresh
Record Selection
GROUP ID DESCRIPTION STATUS
Add Update Delete Post Print Cancel

The above screen shows the 'Save' tab of the Pledge Group Definition screen, which is displayed by default.

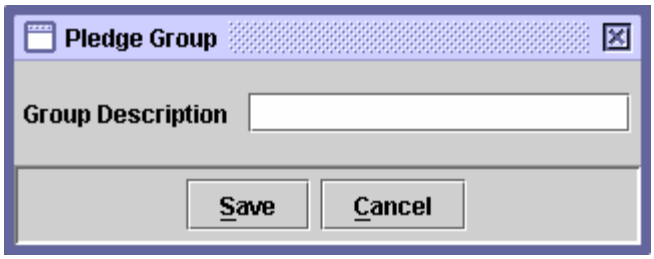
The Pledgee ID in the above screen is hard coded and cannot be changed by the user. The screen also has a Status combo box which is used to filter the records that are displayed in the scrolling table, as shown below:



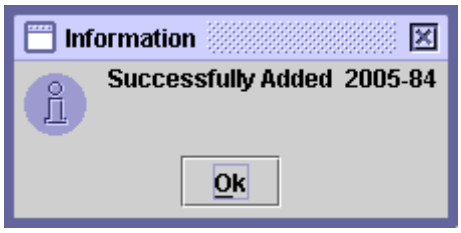
Using the Status combo box, the Pledge Group records can be filtered on the basis of their current status such as, All, To be Added, To be Updated, To be Closed.

4.2.1 Add Mode

If the user wants to add a new Pledge Group, the user will click the ***'Add'*** button on the screen above, and the system will display the following screen:



The user is required to enter such description for the Pledge Group as the user considers necessary in the space provided. On clicking the *'Save'* button, the Pledge Group Add transaction is saved and the following message is displayed:

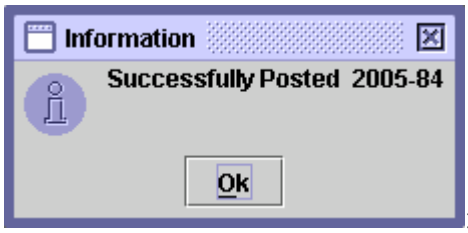


The above message also contains the Pledge Group ID generated by the system.

Clicking the *'OK'* button returns the system to a blank Pledge Group Definition screen with the saved record displayed in the scrolling table.

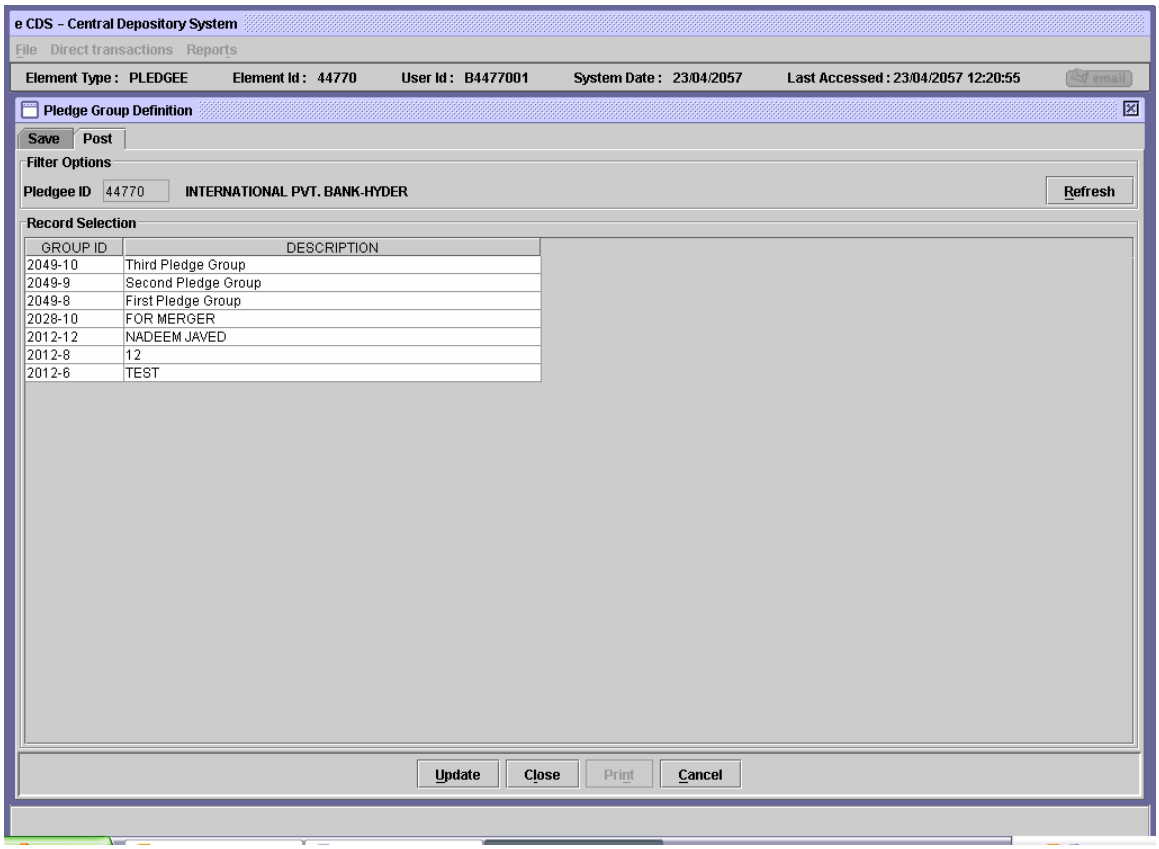
To post the Pledge Group Add transaction the user clicks on the desired record from the scrolling table in the Save tab of the Pledge Group Definition screen and click the *'Post'* button. The system displays the following confirmation message:

Clicking the '*No'* button exits without posting the record while clicking the *'Yes'* button posts the record and displays the following message:



Clicking the '*OK'* button takes the user back to the Pledge Group Definition screen.

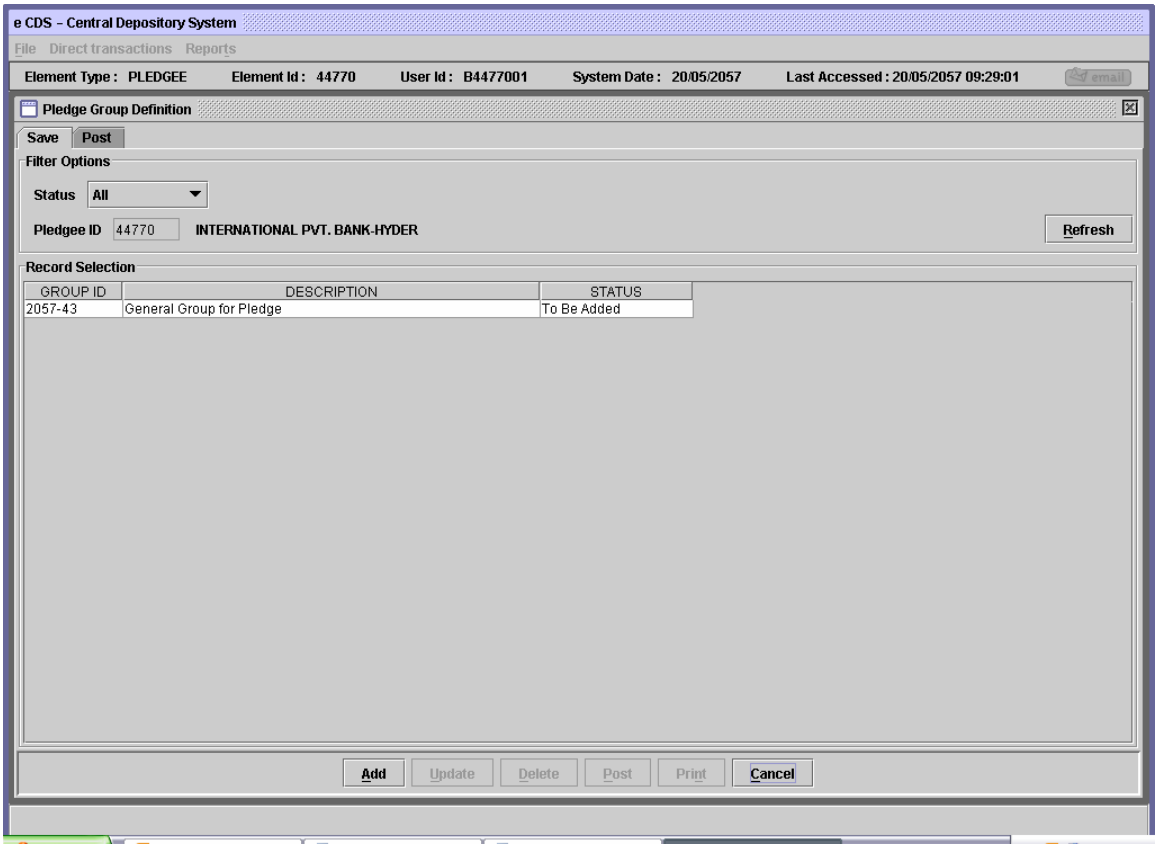
After the Pledge Group Add transaction has been posted, the new Pledge Group record can be seen in the 'Post' tab of the Pledge Group Definition screen as shown below:


e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 23/04/2057 Last Accessed : 23/04/2057 12:20:55
Pledge Group Definition
Save Post
Filter Options
Pledgee ID 44770 INTERNATIONAL PVT. BANK-HYDER
Refresh
Record Selection
GROUP ID DESCRIPTION
2049-10 Third Pledge Group
2049-9 Second Pledge Group
2049-8 First Pledge Group
2028-10 FOR MERGER
2012-12 NADEEM JAVED
2012-8 12
2012-6 TEST
Update Close Print Cancel

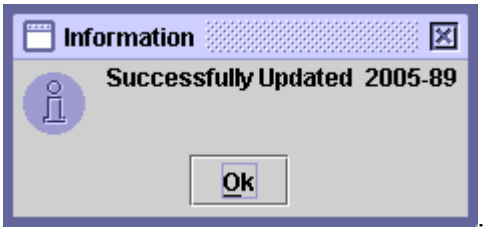
4.2.2 Update Mode

Both saved and posted Pledge Group records can be updated if required. In order to update a saved record, the user needs to open the 'Save' tab of the Pledge Group Definition screen and select the record to be updated. Clicking the *'Update'* button after selecting the desired record opens up the following screen:

The Group ID field is locked while the Group Description field can be updated. Clicking the *'Cancel'* button closes the above screen and takes the user back to the Pledge Group Definition screen. Clicking the *'Save'* button updates the record, which can be seen in the scrolling table on the Pledge Group Definition screen as shown below:


e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 20/05/2057 Last Accessed : 20/05/2057 09:29:01
Pledge Group Definition
Save Post
Filter Options
Status All
Pledgee ID 44770 INTERNATIONAL PVT. BANK-HYDER
Refresh
Record Selection
GROUP ID DESCRIPTION STATUS
2057-43 General Group for Pledge To Be Added
Add Update Delete Post Print Cancel

The system also generates the following message:



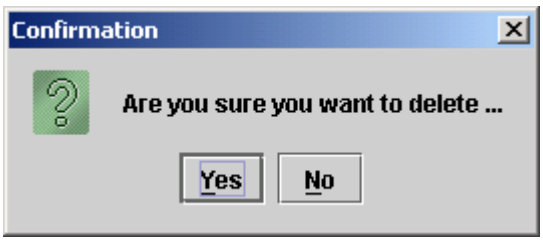
If the user clicks the 'Save' button without making any changes in the record, the following message is displayed:

Similarly, in order to update an already posted Pledge Group, the user needs to go to the 'Post' tab of the Pledge Group Definition screen and carry out the process explained above. On saving the posted transaction after the update, it can be seen in the 'Save' tab of the Pledge Group screen with the Status, "To Be Updated." This saved update transaction can be posted by clicking the *'Post'* button on the Save tab, after which it is removed from the scrolling table of the 'Save' tab and the change occurs in the posted records table on the 'Post' tab.

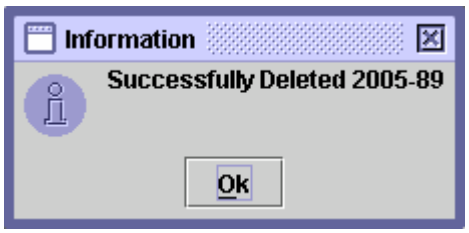
4.2.3 Delete / Close

Saved Pledge Group transactions can be deleted before they have been posted to the system. Similarly, already posted Pledge Groups can be closed through the Save/Post operation.

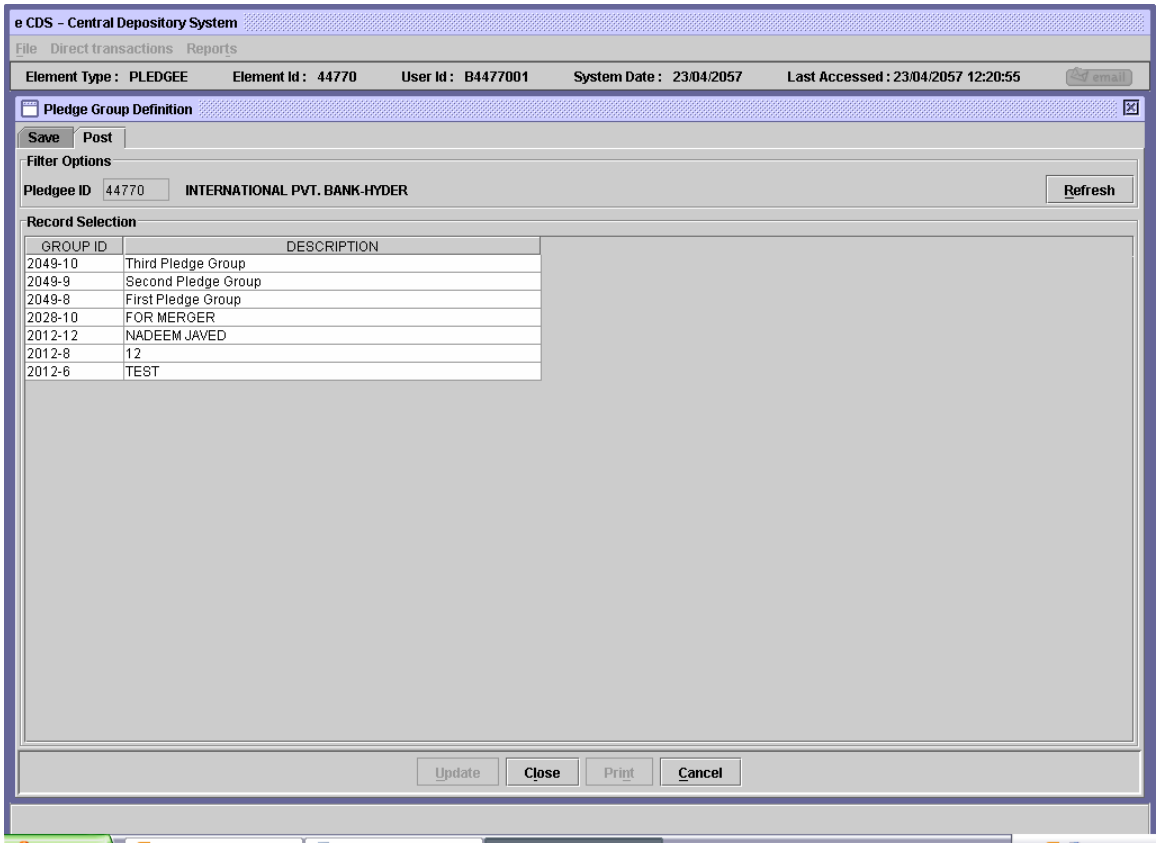
If the user wants to delete a Pledge Group transaction which has not yet been posted, the user will go to the 'Save' tab of the Pledge Group Definition screen and after selecting the record to be deleted from the scrolling table, click the *'Delete'* button. As the user clicks the Delete button, the following confirmation message is displayed, requiring the user to confirm the delete operation:



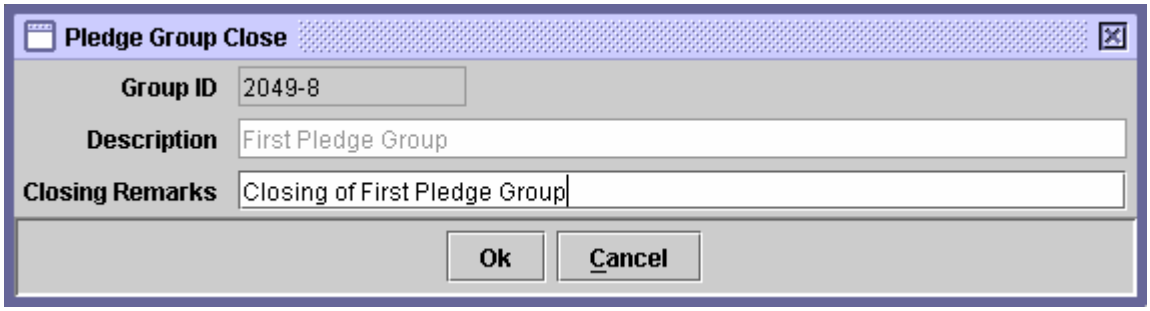
Clicking the *'No'* button aborts the delete operation and takes the user back to the 'Save' tab of the Pledge Group Definition screen. Clicking the *'Yes'* button deletes the saved Pledge Group record and generates the following message:



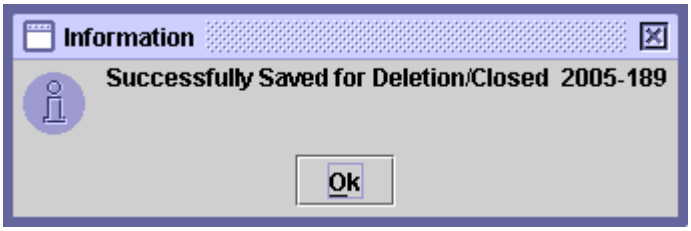
After the termination of all pledges either by *Releasing* or *Calling* the pledged securities, the pledgee can either close the group under which the pledge was made or the user can leave it open to be utilized for future pledge transactions between the same pledgee and any pledgors. Posted Pledge Group records can be closed using the *'Close'* button on the 'Post' tab of the Pledge Group Definition screen, as shown below.


e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 23/04/2057 Last Accessed : 23/04/2057 12:20:55
Pledge Group Definition
Save Post
Filter Options
Pledgee ID 44770 INTERNATIONAL PVT. BANK-HYDER
Refresh
Record Selection
GROUP ID DESCRIPTION
2049-10 Third Pledge Group
2049-9 Second Pledge Group
2049-8 First Pledge Group
2028-10 FOR MERGER
2012-12 NADEEM JAVED
2012-8 12
2012-6 TEST
Update Close Print Cancel

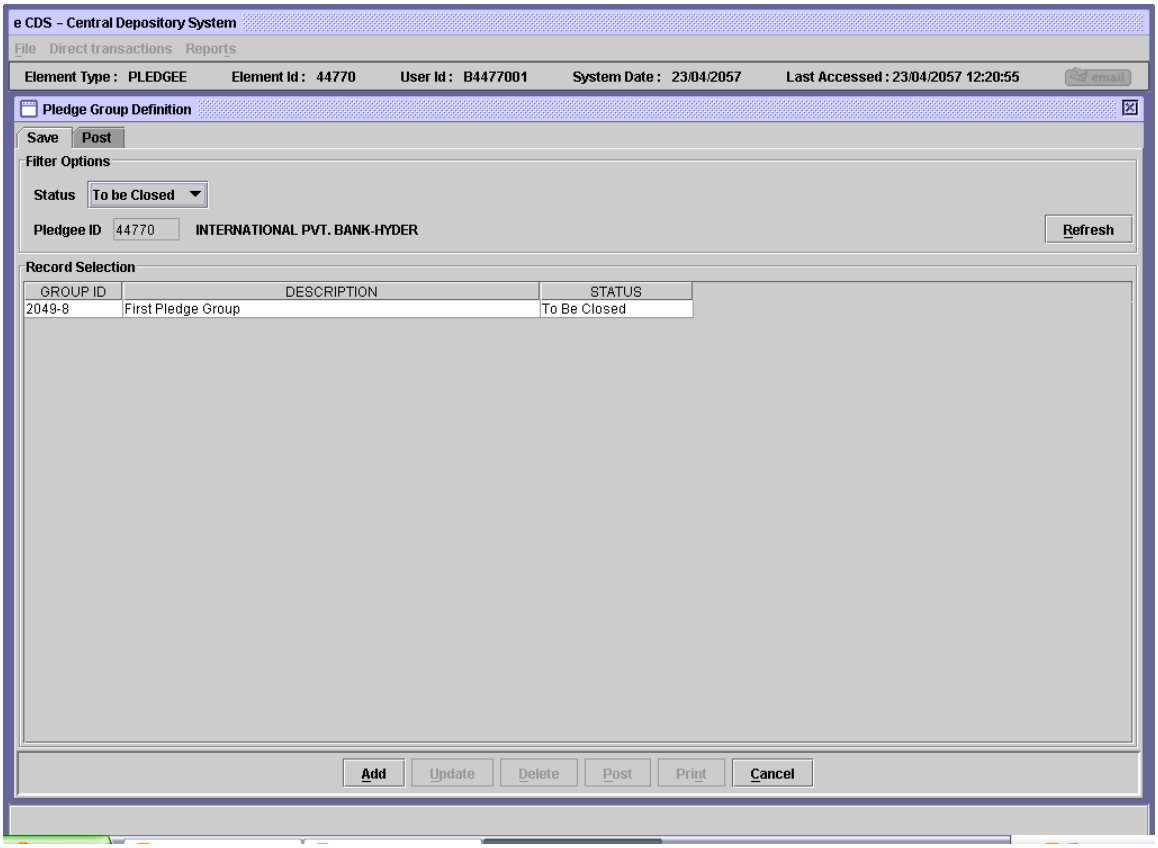
Clicking the *'Cancel'* button closes the Pledge Group Definition screen. As the user clicks the *'Close'* button on the above screen, the user is asked to enter the Closing Remarks in the Pledge Group Close screen below:



The Group ID field and the Description field in the above screen are locked for input. On clicking the *'Cancel'* button, exits the user from the screen without completing the Pledge Group closure. Clicking the *'Ok'* button saves the Pledge Group close transaction and generates the following message:

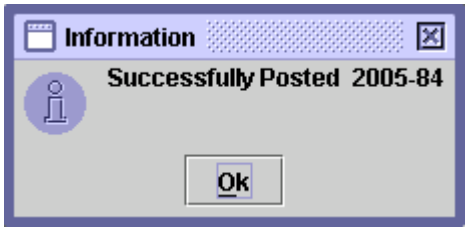


Once the Pledge Group close transaction has been saved, it can be viewed in the scrolling table on the 'Save' tab of the Pledge Group Definition screen with the status, "To be Closed" as shown below:


e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 23/04/2057 Last Accessed : 23/04/2057 12:20:55
Pledge Group Definition
Save Post
Filter Options
Status To be Closed
Pledgee ID 44770 INTERNATIONAL PVT. BANK-HYDER
Refresh
Record Selection
GROUP ID DESCRIPTION STATUS
2049-8 First Pledge Group To Be Closed
Add Update Delete Post Print Cancel

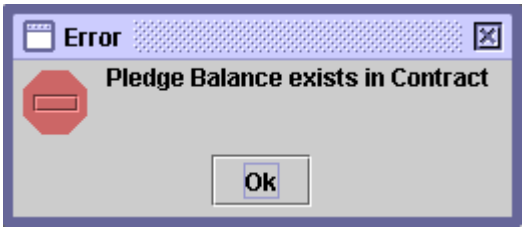
The user can now delete the saved transaction using the 'Delete' button as explained above or post the Pledge Group close transaction by clicking the *'Post'* button on the above screen after selecting the record from the scrolling table. Clicking the *'Post'* button generates the following confirmation message:

Clicking the '*No'* button exits without posting the record while clicking the *'Yes'* button posts the record and displays the following message:



Clicking the '*OK'* button takes the user back to the 'Save' tab of the Pledge Group Definition screen.

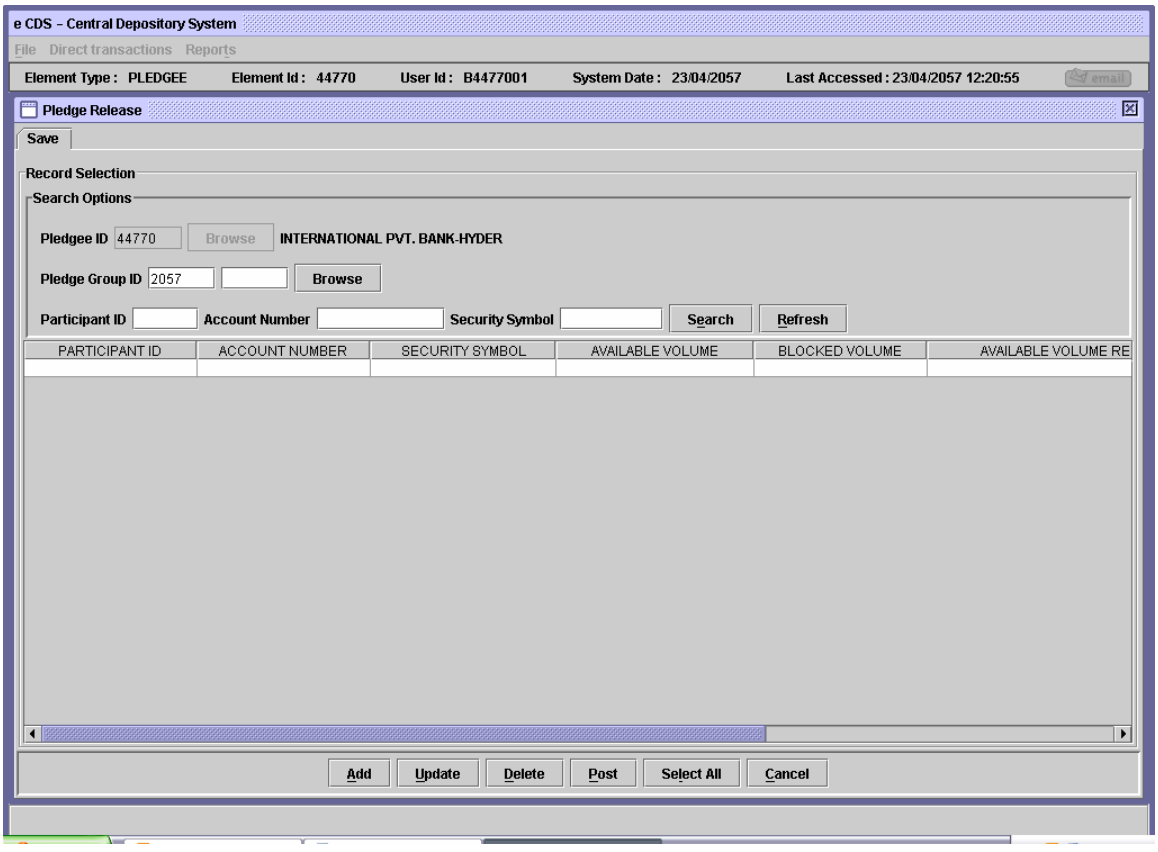
While posting a Pledge Group, system shall check that no contract exists against the group, otherwise system displays following error message.



4.3 PLEDGE RELEASE

Securities which have been placed under pledge can be released only on instructions of the Eligible Pledgee. It is not part of the Depository's functions to verify that instructions received from the eligible pledgee, either for the release or for the call of pledged securities, are authentic. In other words, if an Eligible Pledgee gives instructions to release certain pledged securities, the Depository will not verify that the loan liability has been discharged by the Pledgor or that alternate collateral has been furnished.

As soon as securities have been released from pledge they will be available to the Pledgor for any use the user requires, such as a delivery, withdrawal or another pledge. When the user clicks on the Pledge Release option in the Pledge menu, the following screen is displayed:

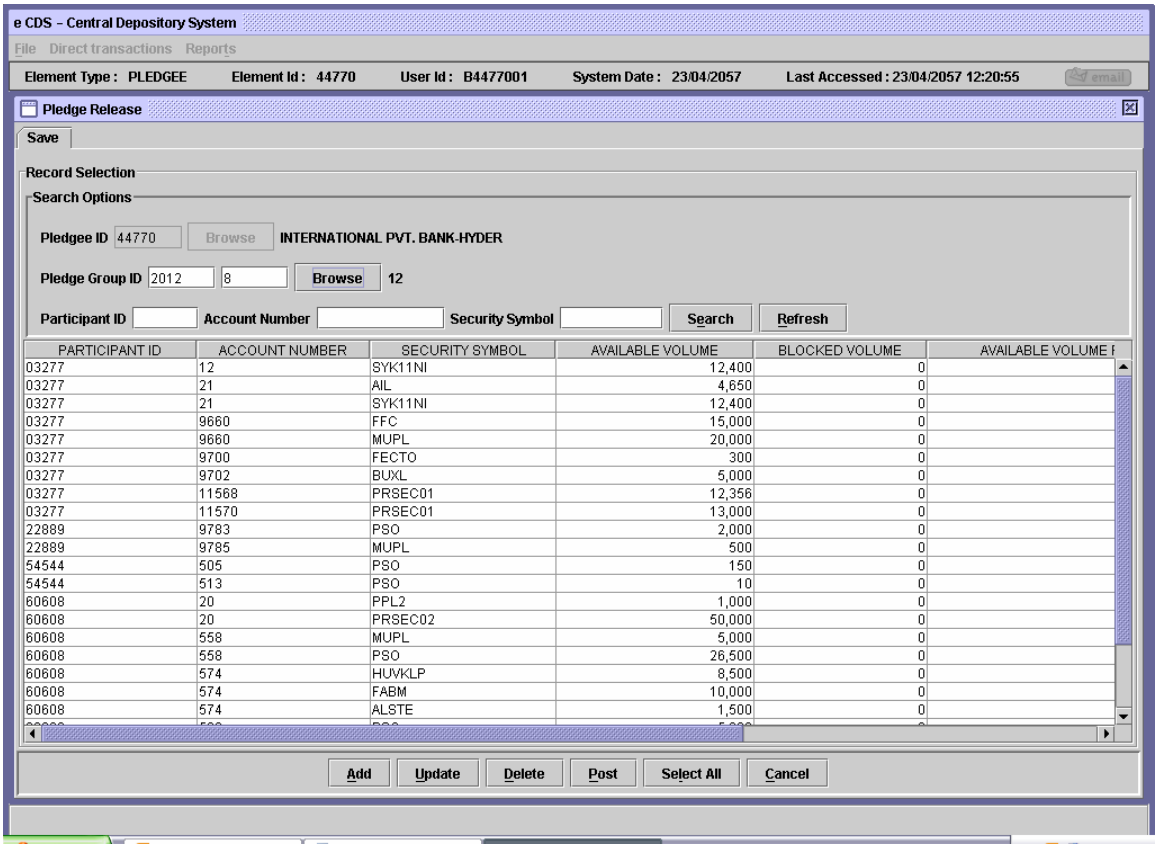


Pledgee ID is automatically entered in the field by the system and the user is not allowed to change it. The user is required to enter the Pledge Group ID relating to the Pledge being processed. There is a *'Browse'* button to enable the

user to find the correct Pledge Group ID from a look up table in case the user does not remember it.

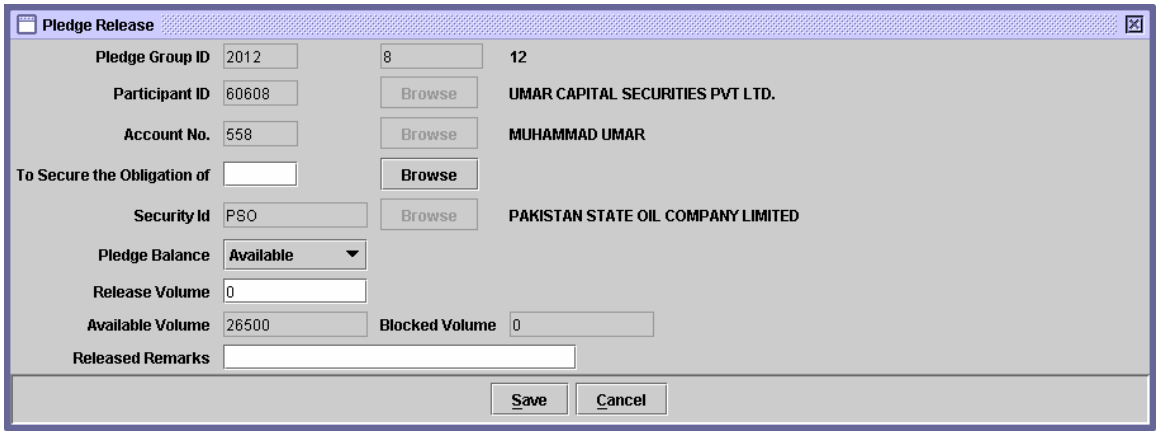
The screen also provides the user with search options to find the pledge transactions on the basis of Participant ID, Account Number and/or Security Symbol. After entering any or all of these details, clicking the 'Search' button returns the records matching the given criteria in the scrolling table. The user is required to enter Pledge Group ID before searching a record; otherwise, system generates the following message

However, as soon as the tab button is pressed after entering a valid Pledge Group ID, all securities pledged under that Group for the Pledgee ID logged in are displayed in the scrolling table of the screen as shown below:


e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 23/04/2057 Last Accessed : 23/04/2057 12:20:55
email
Pledge Release
Save
Record Selection
Search Options
Pledgee ID 44770 Browse INTERNATIONAL PVT. BANK-HYDER
Pledge Group ID 2012 8 Browse 12
Participant ID Account Number Security Symbol Search Refresh
PARTICIPANT ID ACCOUNT NUMBER SECURITY SYMBOL AVAILABLE VOLUME BLOCKED VOLUME AVAILABLE VOLUME F
03277 12 SYK11NI 12,400 0
03277 21 AIL 4,650 0
03277 21 SYK11NI 12,400 0
03277 9660 FFC 15,000 0
03277 9660 MUPL 20,000 0
03277 9700 FECTO 300 0
03277 9702 BUXL 5,000 0
03277 11568 PRSEC01 12,356 0
03277 11570 PRSEC01 13,000 0
22889 9783 PSO 2,000 0
22889 9785 MUPL 500 0
54544 505 PSO 150 0
54544 513 PSO 10 0
60608 20 PPL2 1,000 0
60608 20 PRSEC02 50,000 0
60608 558 MUPL 5,000 0
60608 558 PSO 26,500 0
60608 574 HUVKLP 8,500 0
60608 574 FABM 10,000 0
60608 574 ALSTE 1,500 0
Add Update Delete Post Select All Cancel

4.3.1 Add Mode

To *Release* a pledged security, the user selects the pledge record from the scrolling table in the above screen and clicks the *'Add'* button. This opens up the following screen:

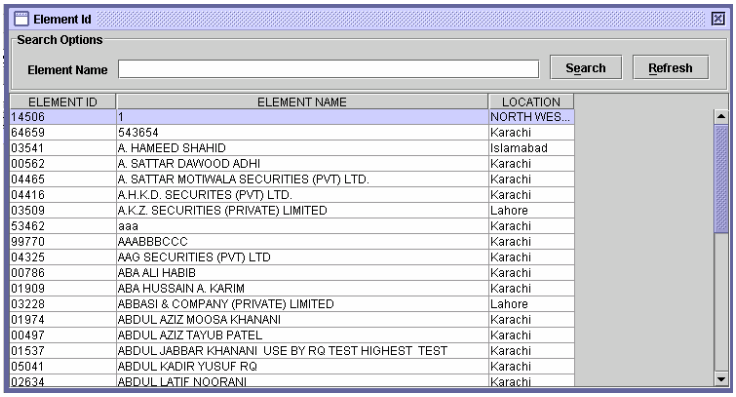


If the *'Add'* button is clicked without selecting a record from the scrolling table, the system displays the following message:

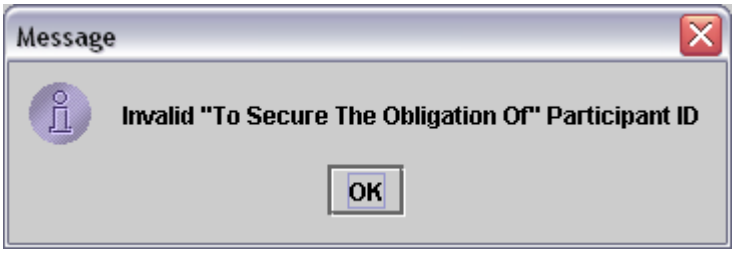
The Pledge Group ID, Participant ID, Account No. , Security ID, Available Volume and Blocked Volume fields are hard coded on Pledge Release screen and cannot be changed by the user. The data to be entered in the input fields displayed in the lower portion is as follows:

* **To Secure the Obligation of** The ID of the Participant on behalf of which the logged in Participant releases the previously pledged security as an exposure. A 'Browse' button is provided to enable the user to select a valid Participant ID in case the user

does not remember it.


Element Id
Search Options
Element Name
Search
Refresh
ELEMENT ID
ELEMENT NAME
LOCATION
14506 1 NORTH WES...
64659 543654 Karachi
03541 A. HAMEED SHAHID Islamabad
00562 A. SATTAR DAWOOD ADHI Karachi
04465 A. SATTAR MOTIWALA SECURITIES (PVT) LTD. Karachi
04416 A.H.K.D. SECURITES (PVT) LTD. Karachi
03509 A.K.Z. SECURITIES (PRIVATE) LIMITED Lahore
53462 aaa Karachi
99770 AAABBBCCC Karachi
04325 AAG SECURITIES (PVT) LTD Karachi
00786 ABA ALI HABIB Karachi
01909 ABA HUSSAIN A. KARIM Karachi
03228 ABBASI & COMPANY (PRIVATE) LIMITED Lahore
01974 ABDUL AZIZ MOOSA KHANANI Karachi
00497 ABDUL AZIZ TAYUB PATEL Karachi
01537 ABDUL JABBAR KHANANI USE BY RQ TEST HIGHEST TEST Karachi
05041 ABDUL KADIR YUSUF RQ Karachi
02634 ABDUL LATIF NOORANI Karachi

Searching option in the lookup table includes Element Name. User can either enter the element name or simply select the desired element ID from the scroll table and double click on it. If user enters invalid Participant ID then system displays following error message:



* **Pledge Balance** This combo box is used to specify whether the pledged securities are to be released from the available balance or from the blocked balance of the pledged securities.

* **Release Volume** The number of securities/units of the security which are to be Released

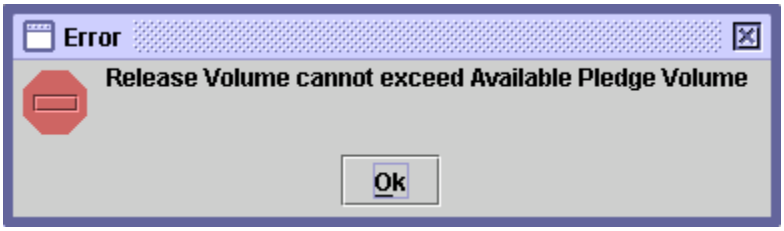
* **Release Remarks** Such remarks that the user considers necessary.

Below the 'Release Volume' field, the 'Available Volume' and 'Blocked Volume' of already pledged securities are shown on the above screen. On clicking the *'Save'* button after entering the above data, the details are added to the scrolling table on the Pledge Release screen.

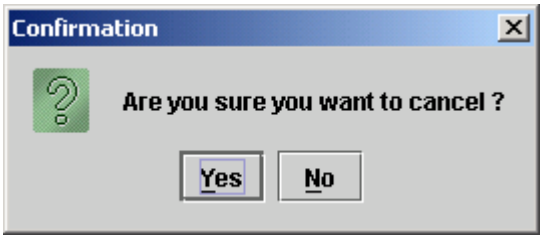
If the Save button is clicked without entering a valid Release Volume, the system generates the following message:

If the release volume field is empty, the system displays following information message:

If the release volume exceeds the pledge volume, the system displays the following message:

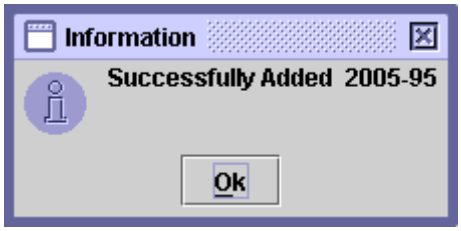


Clicking the *'Cancel'* button generates the following confirmation message:



Clicking the *'Yes'* button closes the screen without adding the Pledge Release transaction, while clicking the *'No'* button closes the message window.

As the pledge release transaction is added successfully using the Save button, the system generates the following message:

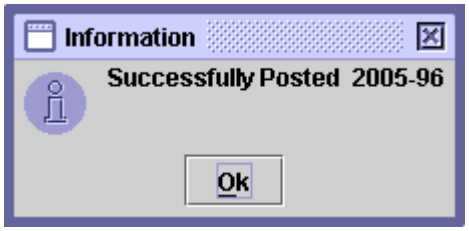


Clicking the *'Ok'* button updates the scrolling table by adding the number of released securities in the "Available Volume Released" and/or "Blocked Volume Released" columns so as to reflect the Pledge Release transaction.

4.3.2 Post Mode

In order to post the Pledge Release transaction, the user would select the record to be posted from the scrolling table and click the *'Post'* button. This will generate the following confirmation message:

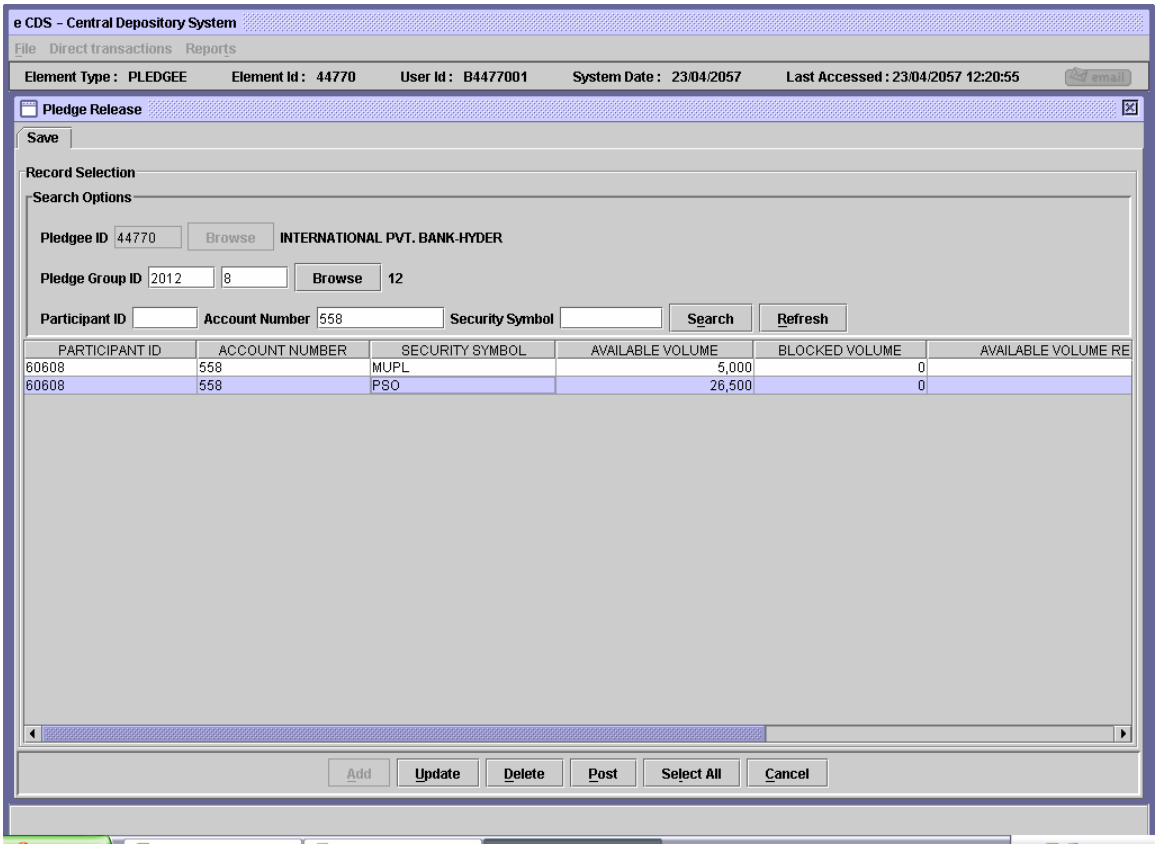
If the user clicks the *'No'* button, the message box will be closed and the Pledge Release transaction will not be posted. If the user clicks the *'Yes'* button, the Pledge Release transaction will be posted and the system will generate the following message:



Clicking the *'Ok'* button will update the "Available Volume" and/or "Blocked Volume" column(s) of the scrolling table to reflect the pledge release.

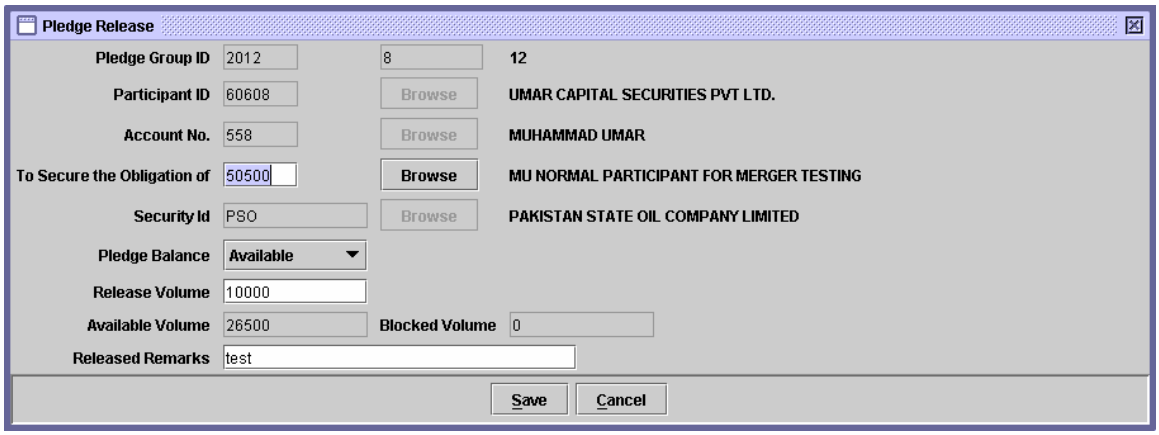
4.3.3 Update Mode

The *Update* button is enabled only when a Pledge Release transaction has been added but not yet posted. If the user desires to update a Pledge Release transaction, the user will have to press the '*Update'* button on the Pledge Release screen, shown below:


e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 23/04/2057 Last Accessed : 23/04/2057 12:20:55
Pledge Release
Save
Record Selection
Search Options
Pledgee ID 44770 Browse INTERNATIONAL PVT. BANK-HYDER
Pledge Group ID 2012 8 Browse 12
Participant ID Account Number 558 Security Symbol Search Refresh
PARTICIPANT ID ACCOUNT NUMBER SECURITY SYMBOL AVAILABLE VOLUME BLOCKED VOLUME AVAILABLE VOLUME RE
60608 558 MUPL 5,000 0
60608 558 PSO 26,500 0
Add Update Delete Post Select All Cancel

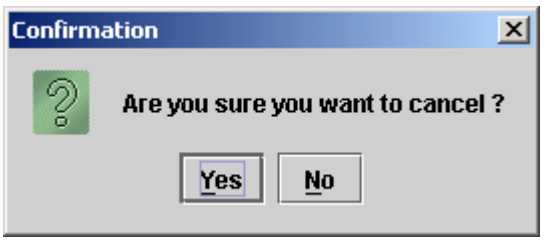
As shown above, selecting such a transaction from the scrolling table will disable the Add button implying that until a Pledge Release transaction has been posted or deleted, another Pledge Release transaction can not be added for the same pledge.

Clicking the *'Update'* button opens up the following screen in which the user can update the Pledge Release transaction:



In the above screen, Pledge Balance, Released Volume and Released Remarks fields can be updated.

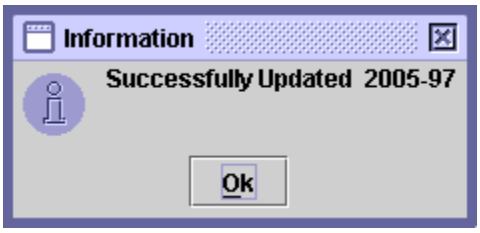
Clicking the *'Cancel'* button generates the following confirmation message:



Clicking the *'Yes'* button closes the screen without updating the Pledge Release transaction while clicking the *'No'* button closes the message window.

On clicking the *'Save'* button will save the changes made. However, if the Save button is clicked without making any changes to the data, the system displays the following message:

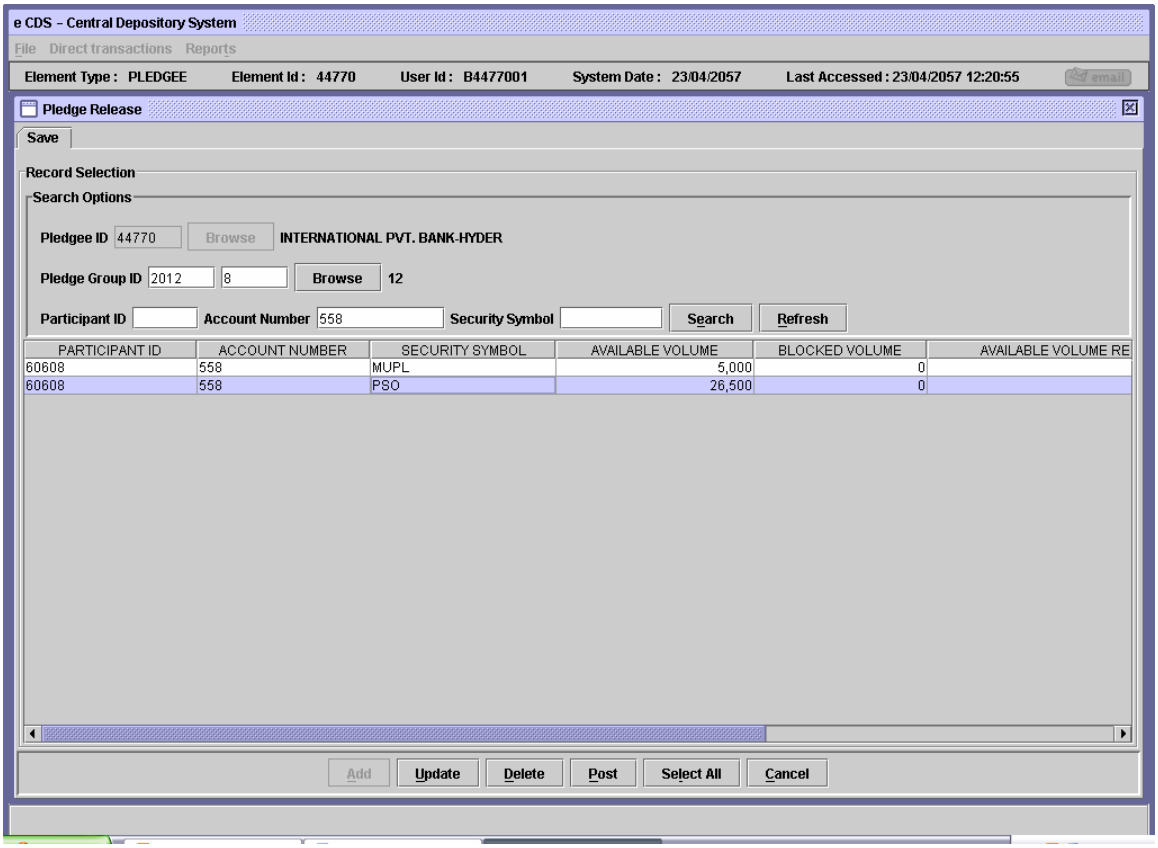
When the Pledge Release transaction is successfully updated, the system generates the following message:



The procedure for posting the Pledge Release update is the same as posting a Pledge Release add transaction explained above.

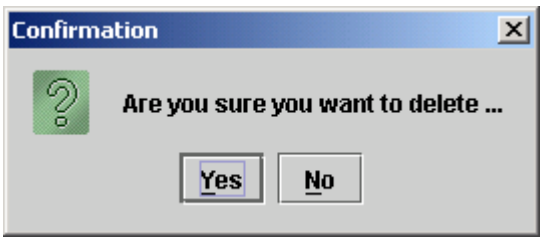
4.3.4 Delete Mode

The *Delete* button is enabled only when a Pledge Release transaction has been added but not yet posted. If the user desires to delete a Pledge Release transaction, which has not yet been posted, the user will have to press the '*Delete'* button on the Pledge Release screen, shown below:

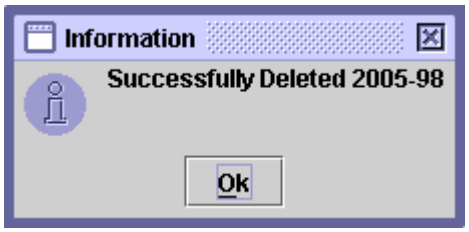

e CDS - Central Depository System
File Direct transactions Reports
Element Type : PLEDGEE Element Id : 44770 User Id : B4477001 System Date : 23/04/2057 Last Accessed : 23/04/2057 12:20:55
Pledge Release
Save
Record Selection
Search Options
Pledgee ID 44770 Browse INTERNATIONAL PVT. BANK-HYDER
Pledge Group ID 2012 8 Browse 12
Participant ID Account Number 558 Security Symbol Search Refresh
PARTICIPANT ID ACCOUNT NUMBER SECURITY SYMBOL AVAILABLE VOLUME BLOCKED VOLUME AVAILABLE VOLUME RE
60608 558 MUPL 5,000 0
60608 558 PSO 26,500 0
Add Update Delete Post Select All Cancel

As shown above, selecting such a transaction from the scrolling table will disable the Add button implying that until a Pledge Release transaction has been posted or deleted, another Pledge Release transaction can not be added for the same pledge.

Clicking the *'Delete'* button generates the following confirmation message.



On clicking the *'No'* button will close the above screen without deleting the Pledge Release transaction. Clicking the *'Yes'* button deletes the Pledge Release transaction and generates the following message:



As soon as the *'Ok'* button is clicked, the data in the Available Volume Released column is updated to reflect the completion of the delete operation.

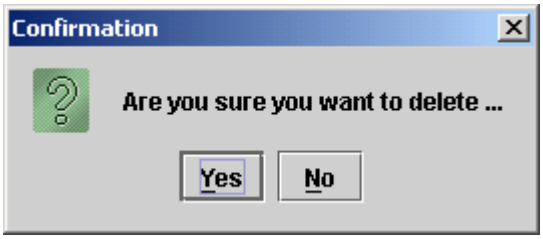
4.3.5 Select All

All Pledge Release transactions can be posted or deleted at the same time by first clicking the *'Select All'* button and then the 'Post' or 'Delete' button as desired.

If the *'Post'* button is pressed the system will ask the following confirmation:

Clicking '*Yes'* will post the transactions, *'No'* exits without making any changes. As the transactions are posted, the system will update the balances in the scrolling table to reflect the completed post operation.

Similarly if the *'Delete'* button is pressed after selecting all the transaction in the scrolling table using the *'Select All'* button, the system will generate the following confirmation message:

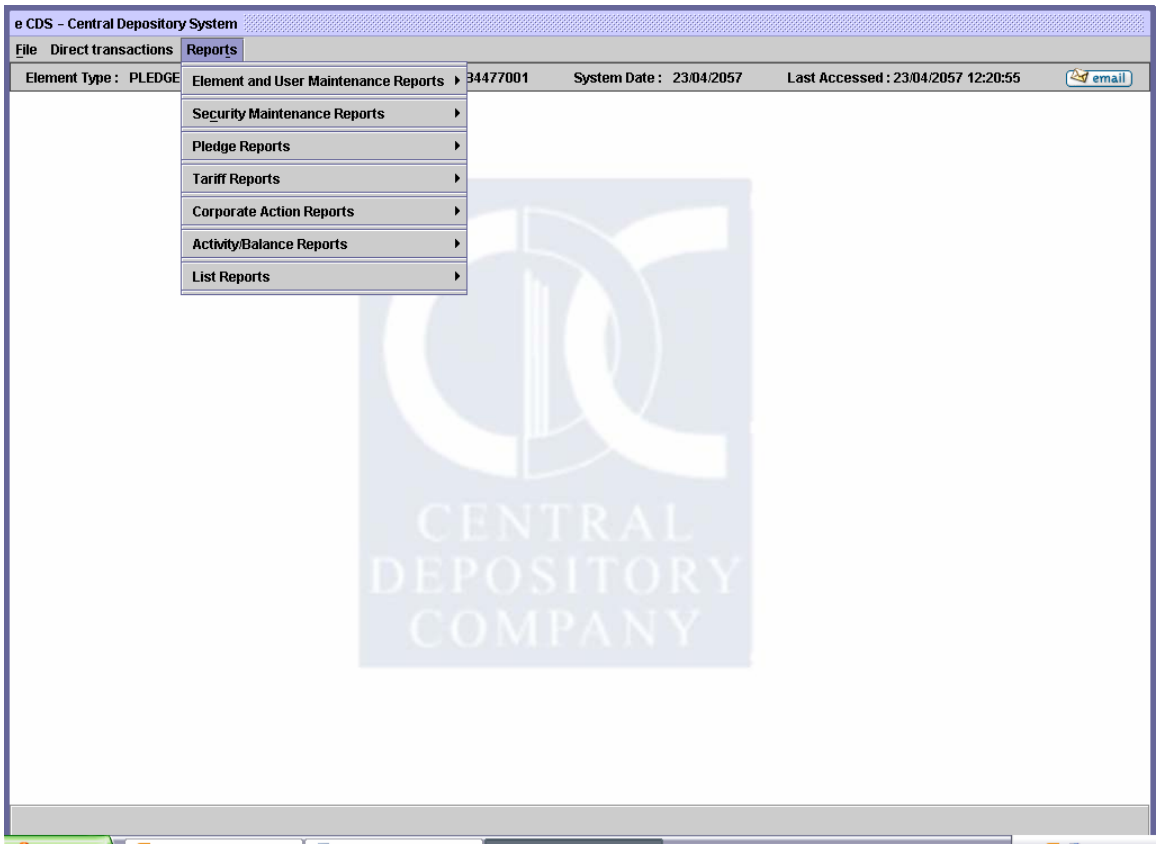


Clicking '*Yes'* will delete the transactions, *'No'* exits without making any changes.

If the *'Post'* button is clicked while there are no Pledge Release Transactions to be posted, the system generates the following message:

6 REPORTS

The *Reports* option on the Main Menu allows the user to generate any of the reports provided in the system. All reports can first be viewed on the screen and then printed out if the user so desires. As soon as the user clicks on or otherwise selects the option "Reports" on the Main Menu, the user is presented with a pull-down menu containing the following options:



- Element and User Maintenance Reports
  - Element report
- Security Maintenance Reports
  - Security List Report
  - Security Price
- Pledge Reports
  - Pledge Release / Call Report

- Pledge Group Report
- Pledge Balance/Activity Report

- Tariff Reports
  - Billing Statement/Summary Report
- Corporate Action Report
  - Issuer Action Report
- Account/Balance Report
  - Account Activity Report
  - Account Balance Report
- List Reports
  - Transaction List Report

Detailed explanations of the above menu option are included in this chapter. Wherever considered appropriate, the above menu items have been grouped together under logical headings based on the overall area of CDS functionality they deal with.

PRINT OPTIONS

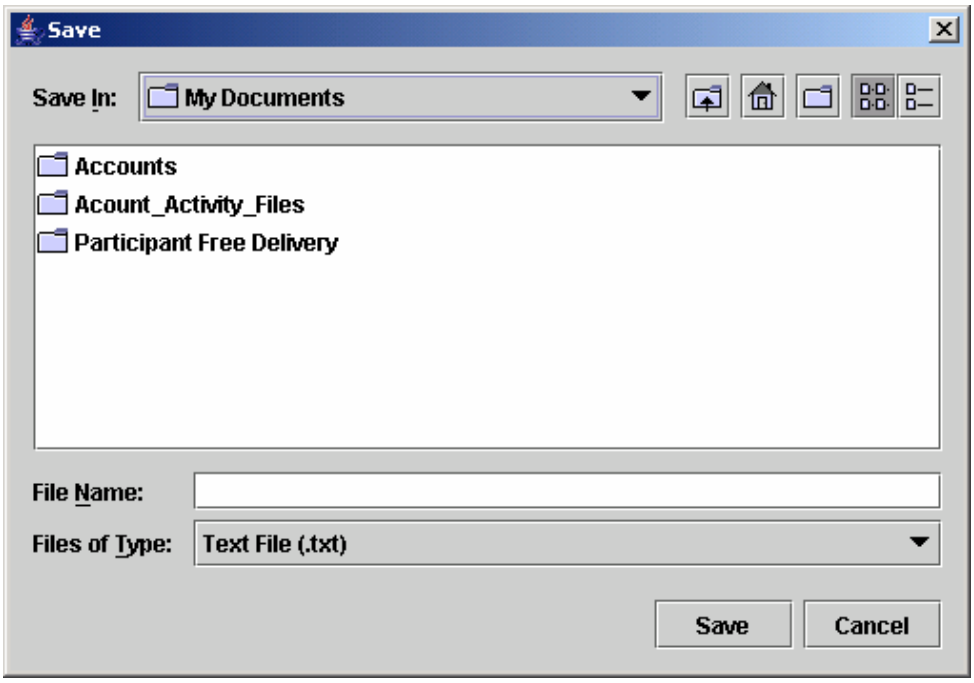
In order to avoid excessive repetition, before going into detailed explanations of CDS Pledgee reports, the function of Print and Download is explained below.

* **Print Report Only** Clicking this radio button displays the report on the screen.

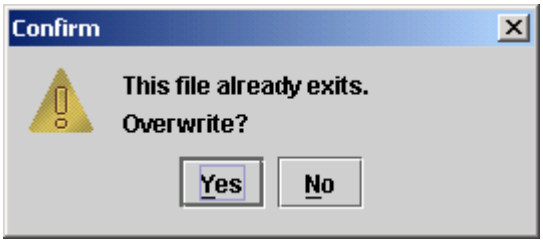
* **Download & Print** Clicking this radio button not only prints the report on the screen but also downloads the report in a specified file.

* **Field Separator** This field is only enabled when the *'Download and Print'* option is selected. The user is presented with the options to separate the fields in the report.

If the *Download & Print* option is selected, *'File'* button is enabled. Clicking on the '*File'* button displays the following screen:



After giving the file name when user has to click the *'Save'* button, if the specified file name already exists, the system gives the following error:



The *'Yes'* button overwrites the files while the *'No'* button takes the user back to the previous screen to get the different file name.

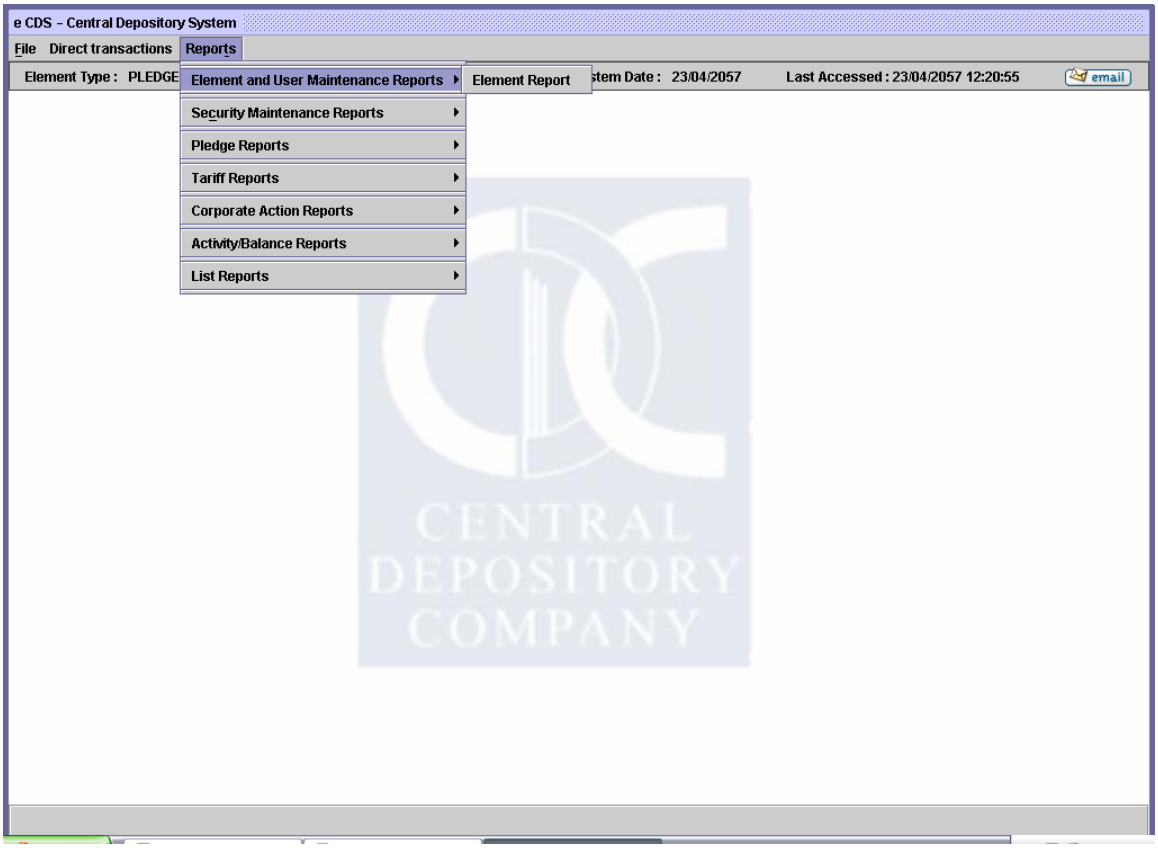
After giving the file name user has to press the *'OK'* button in report screen. The program will display the message in the bottom of screen "Please wait

while retrieving data". After the process completion the following message will displayed:

The downloaded file can be opened from the specified location to view and/or print the report.

6.1 ELEMENT AND USER MAINTENANCE REPORTS

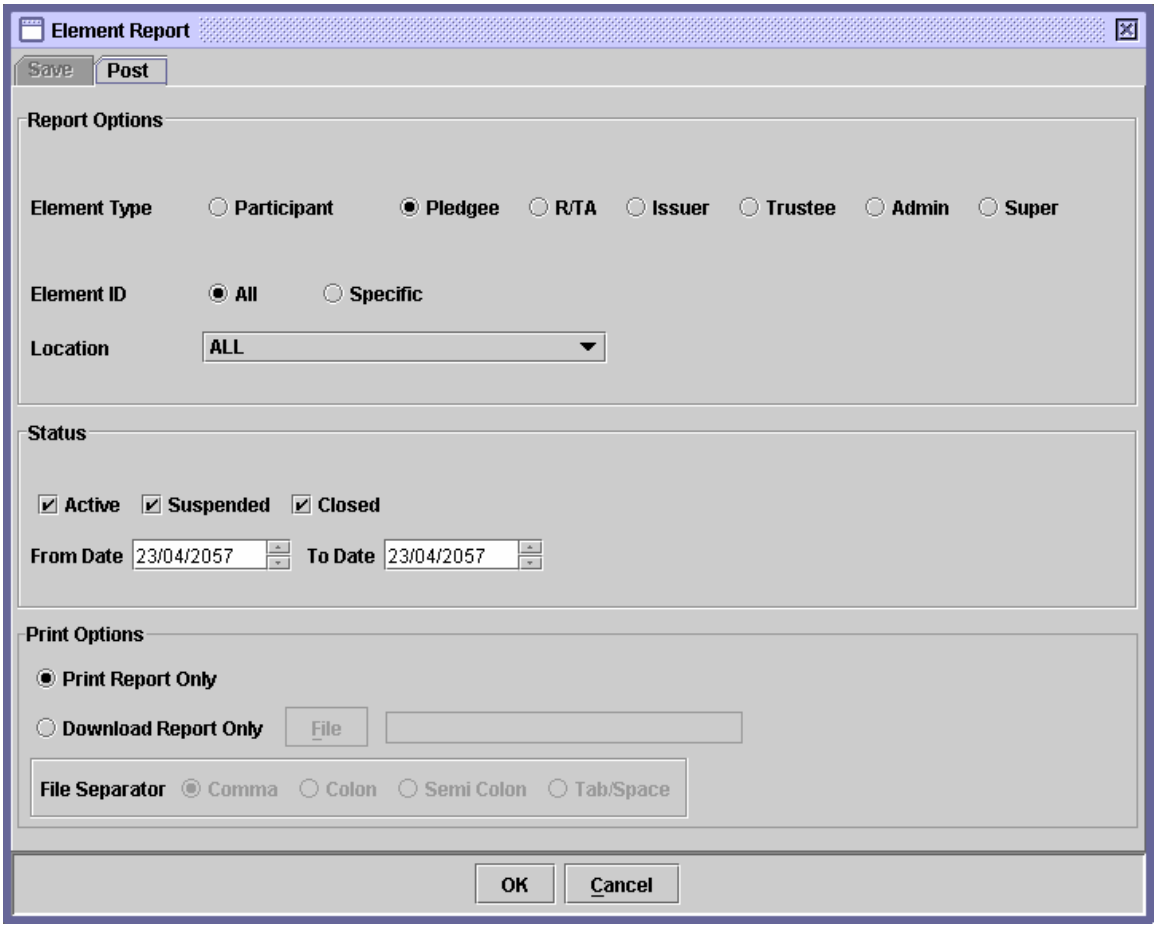
As shown below, when the Element and User Maintenance Reports menu is highlighted, a sub-menu is displayed, which is explained below



6.1.1 Element Report

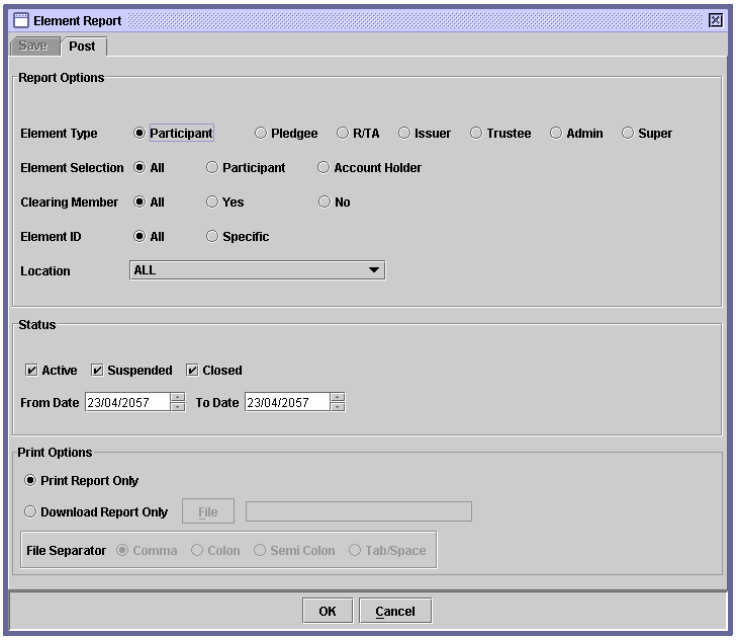
This report enables the user to generate the maintenance reports of all or specific Posted elements.

On clicking the Element Report sub-menu the following screen is displayed:



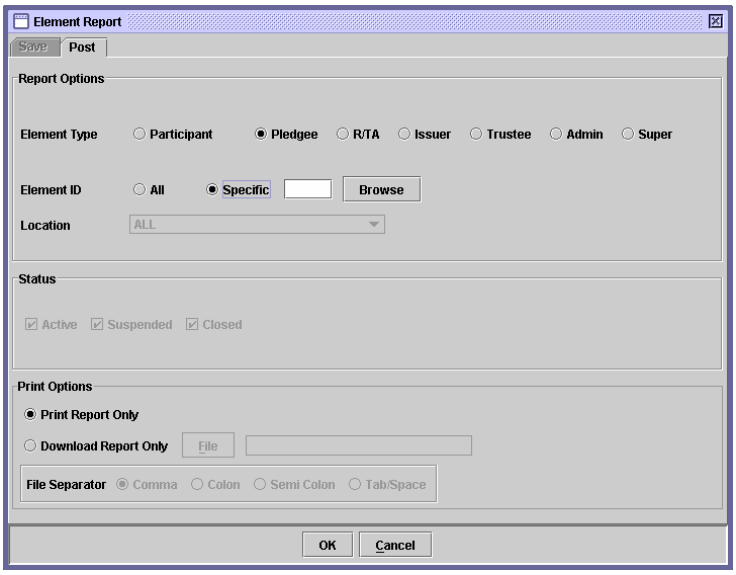
The data to be entered is as follows:

* **Element Type** The report can be generated for any of the element type: Participant, Pledgee, R/TA, Issuer, Trustee, Admin and Super. When Element ID "Participant" is selected, Element Selection and Clearing Member options appear.



∗ **Element ID**

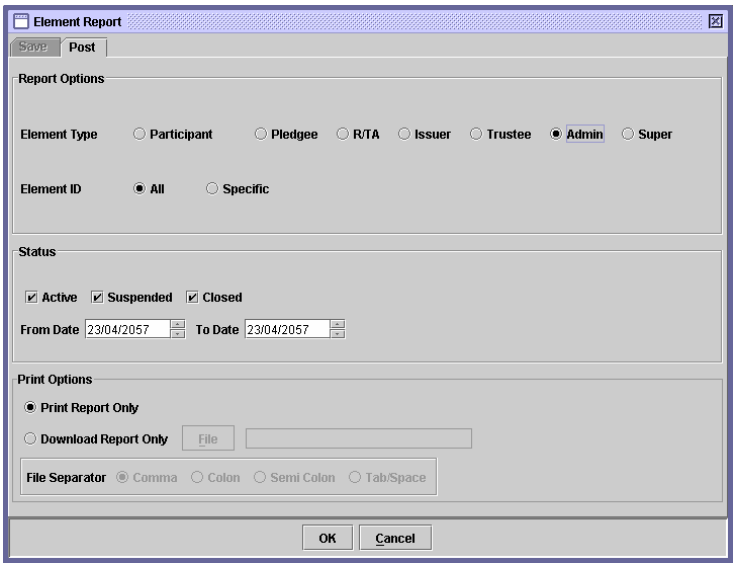
The report can be viewed for all or specific element IDs'. To enter a specific Element ID, the user clicks the *'Specific'* radio button in the Element ID field, a textbox for entering the required Element ID appears. User is also presented with a browse option, which enables the user to select from a lookup table if in case the user does not remember the specific Element ID.



When Element Id *Specific* is selected, Location and Status fields are automatically disabled and From Date, To Date disappeared.

* **Location** The combo box provides the user with the option to generate the report for all locations or for Karachi, Lahore, Islamabad, Peshawar or North West Frontier Provinces.

  When the user selects Admin or Super Option, the location field disappear from the screen.



* **Status** User can generate report for the any status: Active, Suspended and/or Closed.

* **From Date & To Date** The dates to be covered by the report should be entered in these fields.

The report shows the Element ID, Element code, Element Name, Address, Phone, Fax, Email, Contact Name, Designation, CDC location, Main A/c, Client A/c, Role Code, CM, Maximum User, Option No., Status and Date.

The print option is explained at the beginning of this chapter.

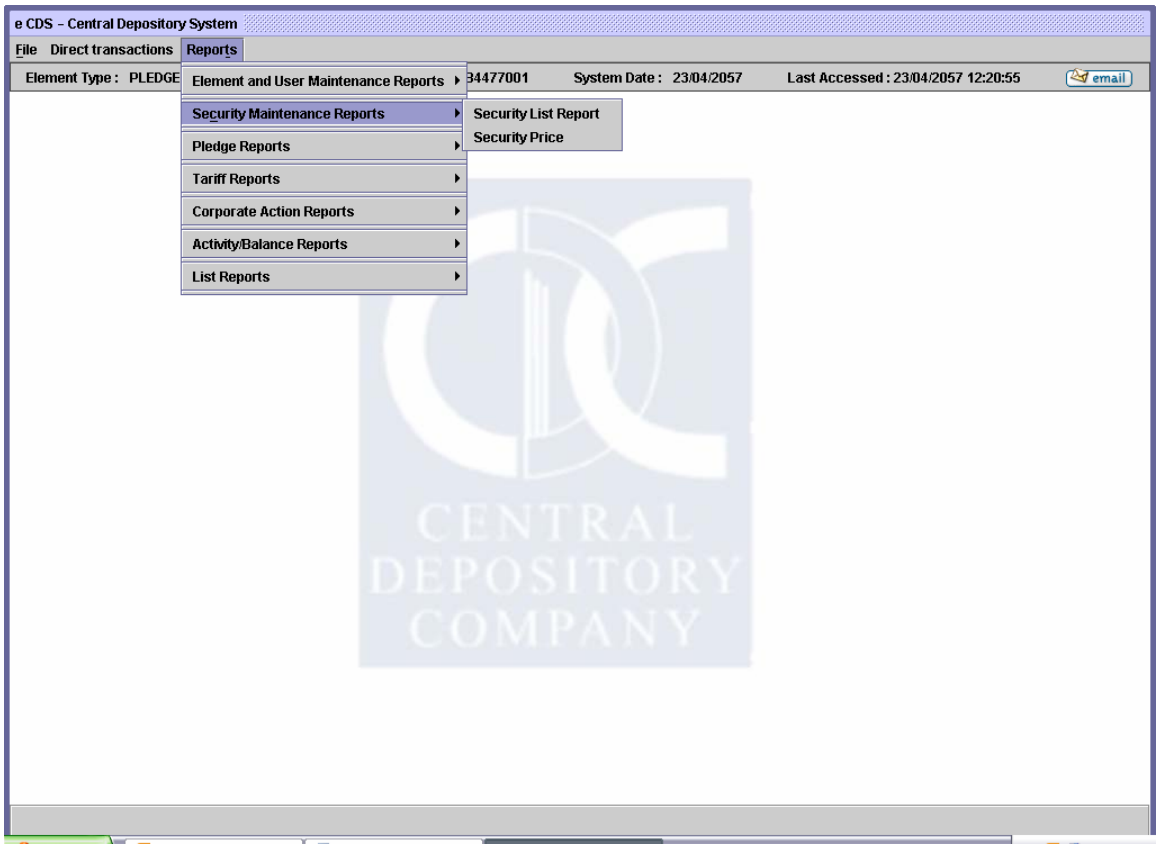
The contents of "*Download and Print" option report are same as that of the "Print Report only".*

After the user has entered the above parameters, the user should click the *'OK'* button to display the report on the screen or the *'Cancel'* button to quit the

program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

6.2 SECURITY MAINTENANCE REPORTS

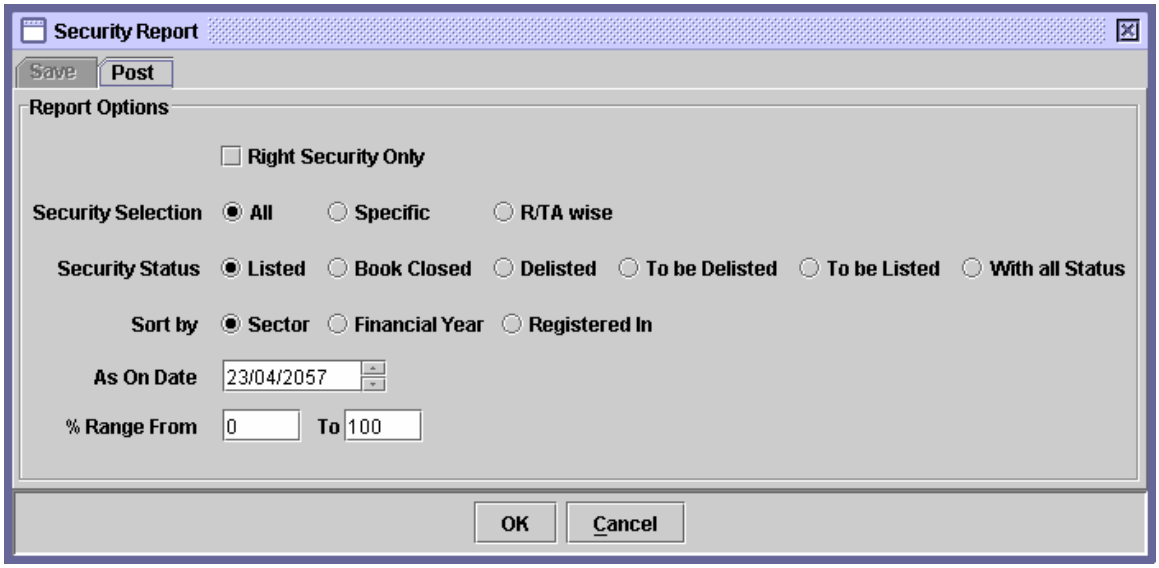
As shown below, when the Security Reports menu item in the Reports menu is highlighted, a sub-menu is displayed:



Each of the options in the sub-menu above is dealt with in the paragraphs that follow:

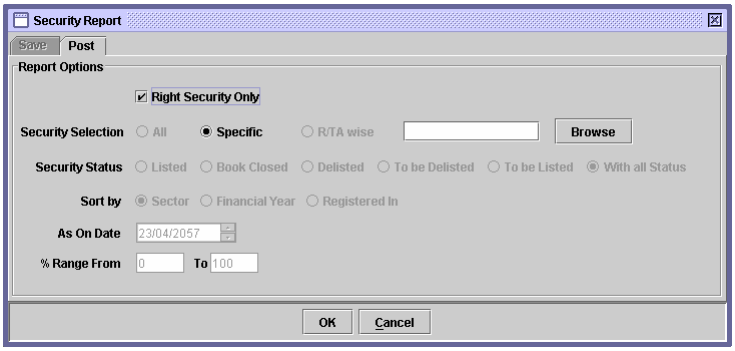
6.2.1 Security List Report

When the user clicks on the *Security List Report* option in the Security Maintenance Reports submenu, the system displays the screen shown below:



This report gives a list of all the Securities set up in the system. The user can select the securities the user wants displayed by clicking the appropriate option on the screen above. The save tab is disabled for the user. These options are explained below:

* **Right Security Only** — A provision is provided to the login user to fetch specifically Right Security Details. Clicking 'Right Security Only' checkbox, all the parameters available on the screen shall become disabled as following:

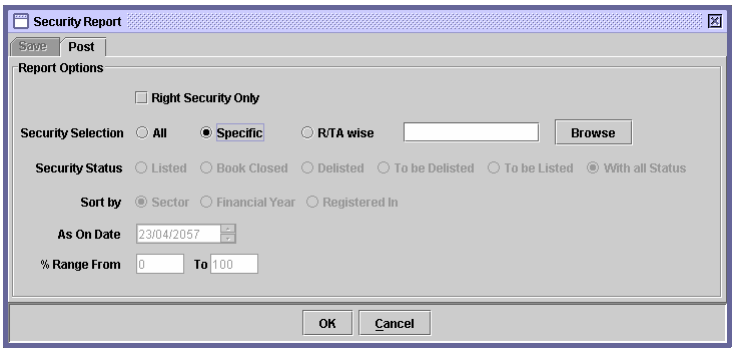


The user has to input the valid security symbol or can search the required security symbol via '*Browse'* option.

* **Security Selection** — The report can be generated for *'All'* securities, *'Specific'* securities, or *'R/TA wise'*. When the radio button for 'Specific' or 'R/TA wise' securities is

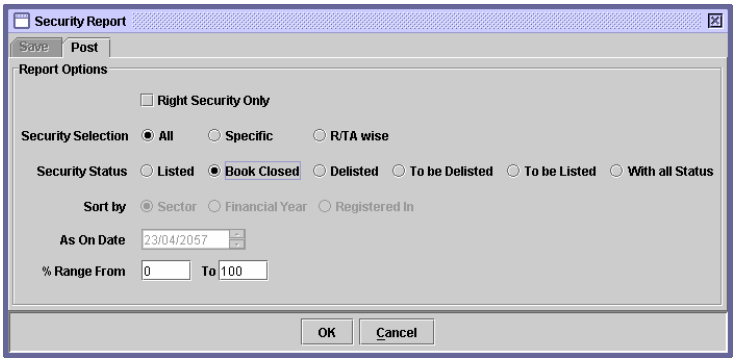
selected, a textbox for entering the required Security Symbol or R/TA ID and a '*Browse'* button for lookup table appears.

When the radio button for Specific security is selected, all other fields except "Security Selection" and 'Rights Security Only' options are disabled.

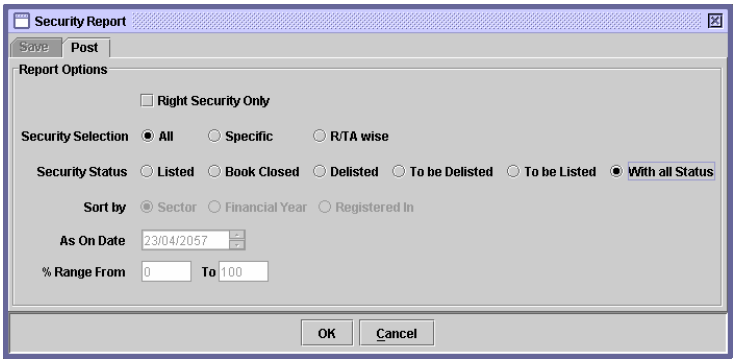


∗ **Security Status**

The user can generate the report for a specific security status. These can be 'Listed,' 'Book Closed', 'Delisted,' 'To be Delisted,' 'To be Listed,' 'With all Status.' On selection of Book Closed, Delisted, To be Delisted, To be Listed status the "Sort by" and "As on Date" fields are automatically disabled.



When the radio button for 'With all status' is selected, all other fields except "Security Selection", "Security Status" and "Right Security Only" option are disabled.



* **Sort by** Securities can be sorted by either 'Sector' or 'Financial Year' or 'Registered In' using the appropriate radio button. This field is enabled only when 'Listed' radio button is selected in the Security Status.

* **As on date** The date as of which the report is required has to be entered here. This field is enabled when the Sector option is selected. This field is enabled only when 'Listed' radio button is clicked in the Security Status field.

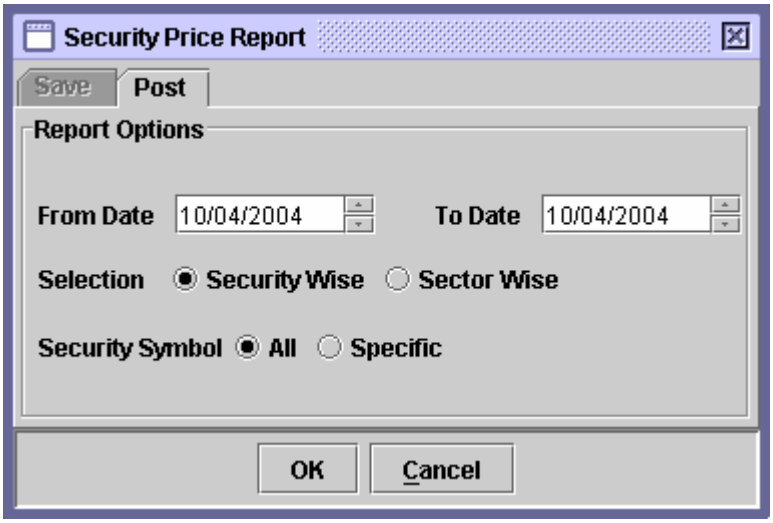
* **% Range To and From** These fields are used to specify the range for the percentage of paid-up capital with respect to the authorized capital. This field is disabled when user selects "With all Status" Security Status.

The securities are grouped according to market sectors and the report shows the Security ID, Status, Security Name, Financial Year End, Security Symbol, Market Code, Live Date, Role Code, Security Code, Paid-up Capital/Total Volume, Issuer Name, Book Entry percentage, Face Value, Currency Code, R/TA ID, R/TA Name and Registered In (place where the security is registered).

After the user has entered the above parameters, the user should click the *'OK'* button to display the report on the screen or the *'Cancel'* button to quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

6.2.2 Security Price

This report enables the users to view security prices for all or a specific security setup in the system. When the user clicks the *Security Price* option on the Security Maintenance Reports submenu, the system displays the screen shown below:



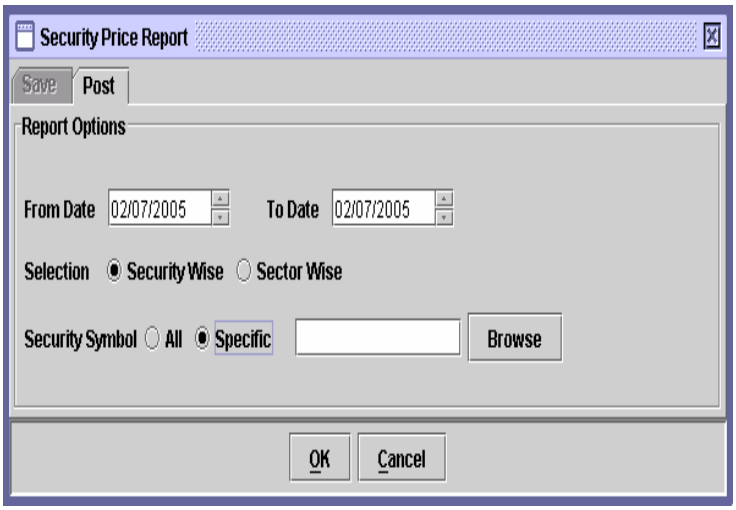
By default Post Tab is enabled, and the save tab is disabled.

The data to be entered in this screen is as follows:

* **From/To Dates** The dates to be covered by the report should be entered in these fields.
* **Selection** By selecting the respective radio buttons, the user can generate the report 'Sector Wise' or 'Security Wise.'
* **Security Symbol** The user has the option to select the *'All'* radio button if the report is required for all securities' prices or the *'Specific'* radio button if the report is required for a specific security's price.

  As shown below, when the user clicks the *'Specific'*

radio button in the Security Symbol field, a textbox for entering the required security symbol appears.



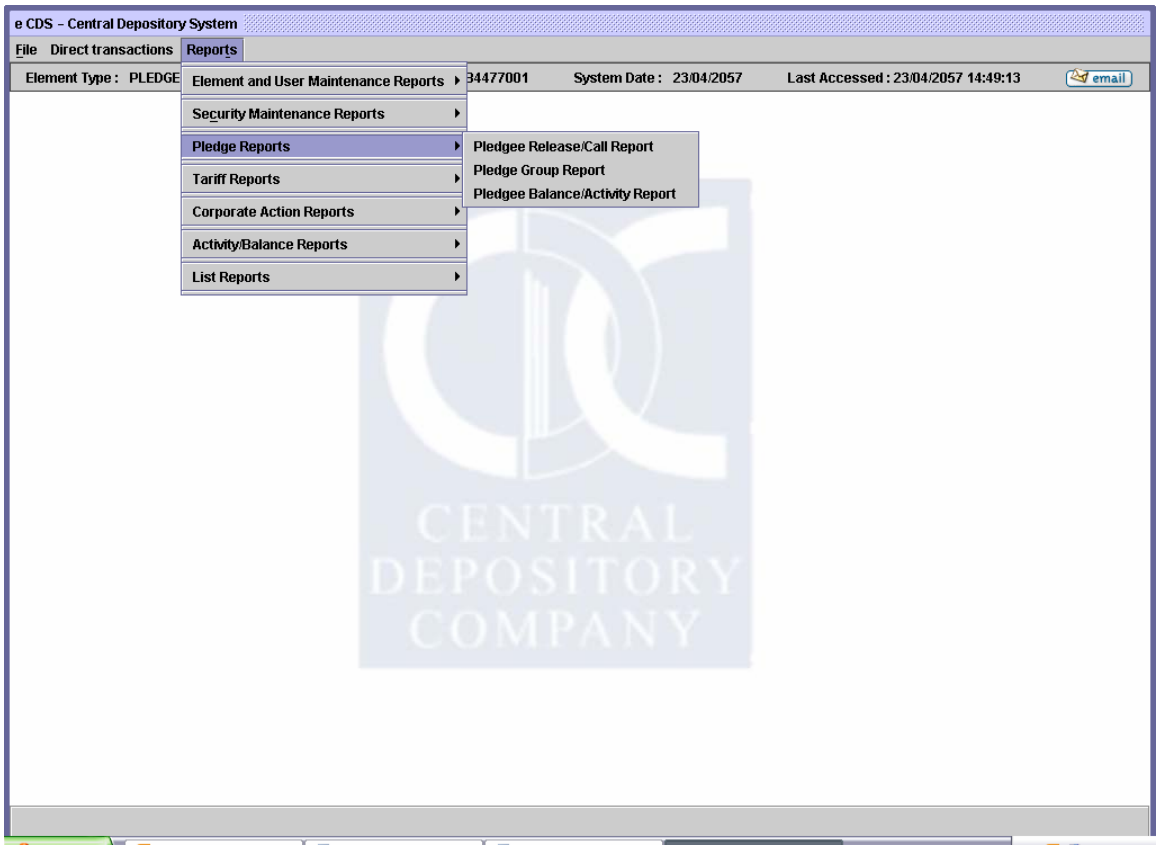
A *'Browse'* button is provided by the side of the textbox to give the user access to a lookup table in case the user does not remember the correct security symbol.

The report format includes Security ID, Security Name, Symbol, Date and Security Price.

After the user has entered the above parameters, the user should click the *'OK'* button to display the report on the screen or the *'Cancel'* button to quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

6.3 PLEDGE *REPORTS*

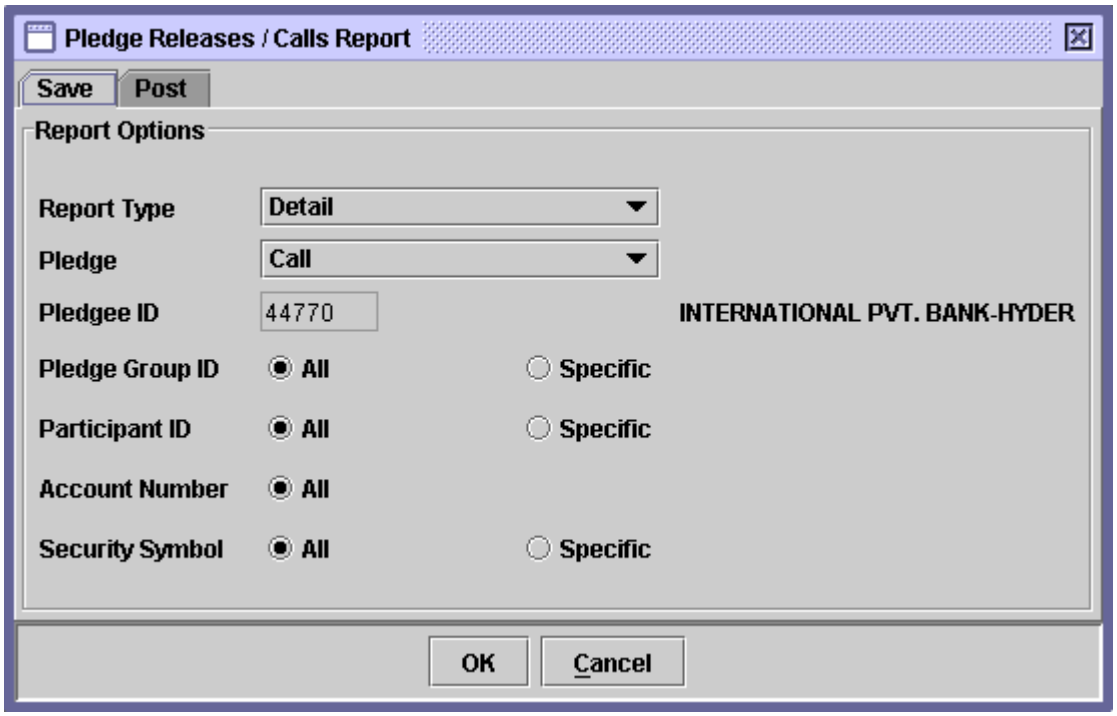
As shown below, when the Pledge Reports menu item in the Reports menu is highlighted, a sub-menu is displayed:



Each of the options in the sub-menu above is dealt with in the paragraphs that follow.

6.3.1 Pledge Release / Call Report

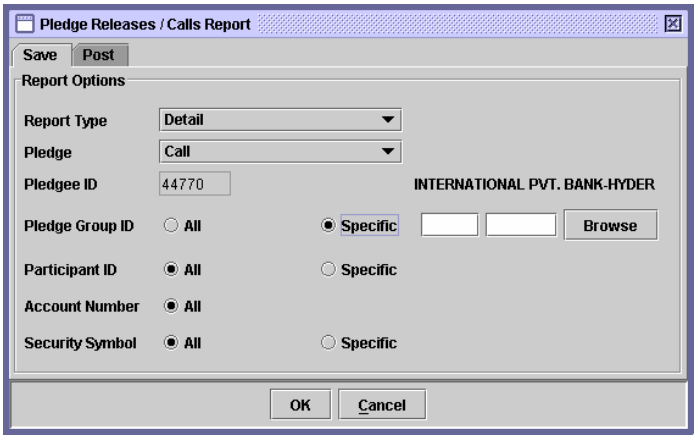
The *Pledge Release Call Report* option, which is displayed when the Pledge Reports menu item on the Reports menu is highlighted, enables the user to display or print a report showing the Pledge Releases and Calls relating to a particular pledgee. Clicking on this menu item displays the screen for Saved and Post Pledge Release/Call Reports. By default, the Save tab is displayed, which generates reports for saved transactions.



The Pledge ID is hard coded. The data to be entered in this screen is as follows:

* **Report Type** The user can view the report in detail form.
* **Pledge** This combo box provides the user with the option to generate the report for Pledge Calls or for Pledge Releases.
* **Pledge Group ID** The user can generate the report for all or specific Pledge Group ID. However, the Pledge Group ID is

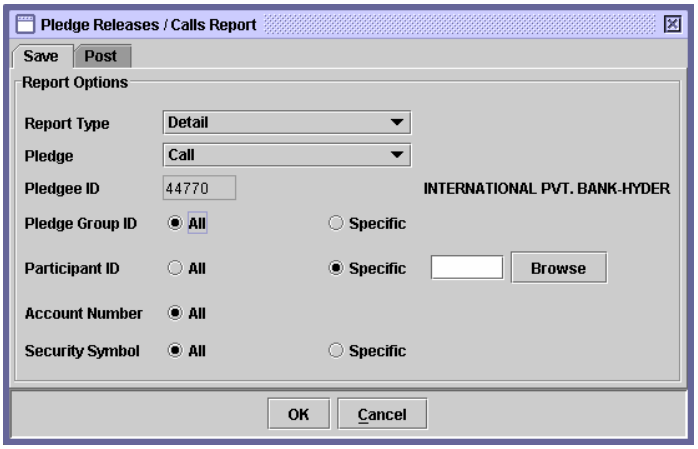
required if Specific option is selected. This textbox field does not appear unless the user selects the Specific option.



A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct ID.

* **Participant ID**

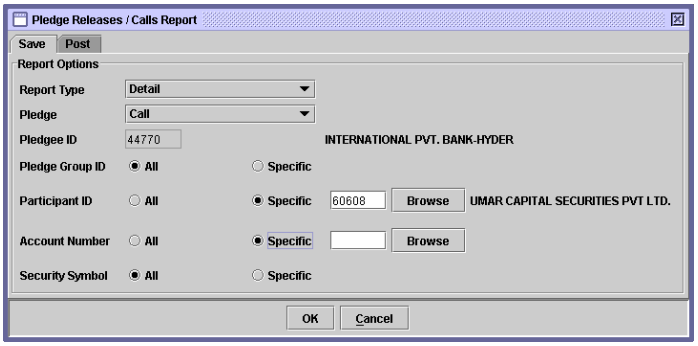
The user can select for All or Specific Participant ID. The Participant ID is required if the user selects specific. This textbox field does not appear unless the user selects the Specific option.



A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct ID.

* **Account Number**

The user can generate the report for all Account Numbers. If the user selects *Specific* radio button of the "Participant ID", the "*Specific"* option for Account Number appears; as shown below:



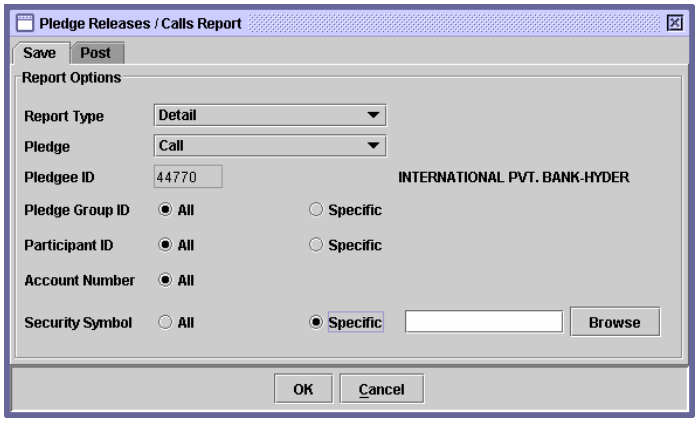
On save tab of the report parameter screen, on clicking "*Specific"*, an input field appears along with a browse button.

'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Account Number. Further, the Account Number lookup will only display those Account(s) for which any transaction exist in the save browser.

On post tab of the report parameter screen, on clicking *"Specific",* only an input field appears. On providing valid Account Number in the text field, a UIN field will be visible beneath to the Account Number field, as shown below, and the user is required to input valid UIN of the Account in order to get the report of specific account.

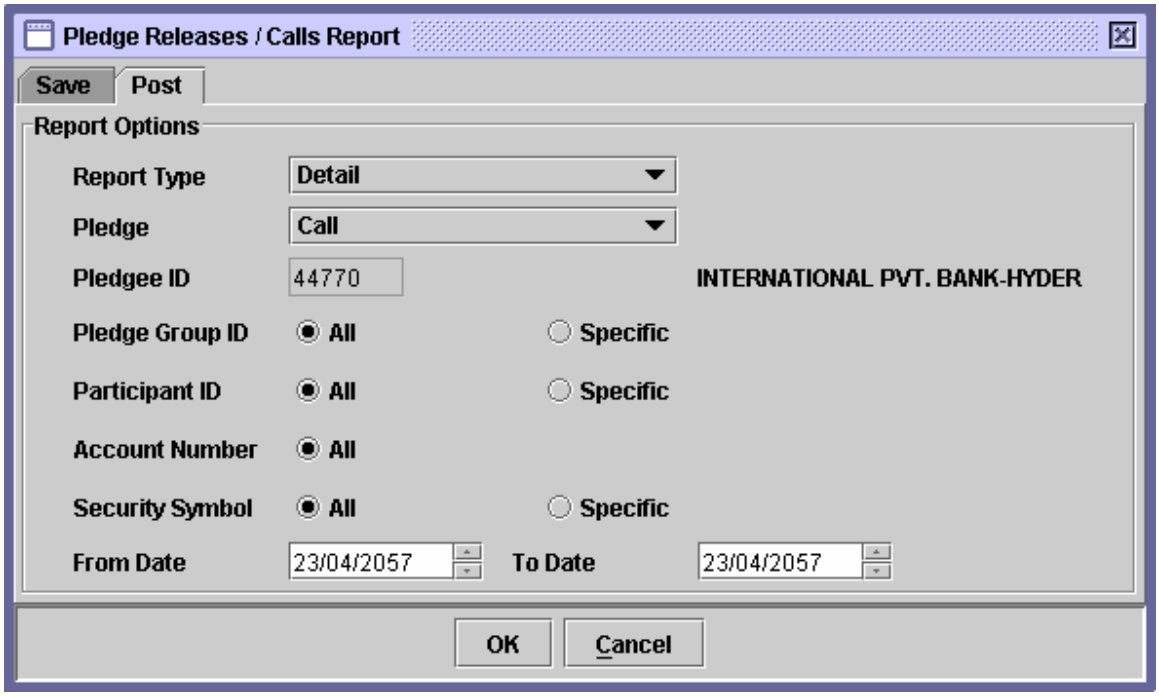
* **Security Symbol**

The user can generate the report for all or specific Security Symbol. The Security Symbol is required if Specific option is selected. This textbox field does not appear unless the user selects the Specific option.



A 'Browse' button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct symbol.

The *'Post'* tab of the Pledge Releases/Calls Report screen, as shown below, is used to generate the report for posted transactions:



In addition to the above fields the Post tab also contains the 'From Date' and 'To Date' fields for specifying the date range for the report.

The report format for Released Pledge shows the Pledge Group ID, Participant ID, A/C#, A/c Title, A/C Type, To Secure The Obligation Of', Security Name,

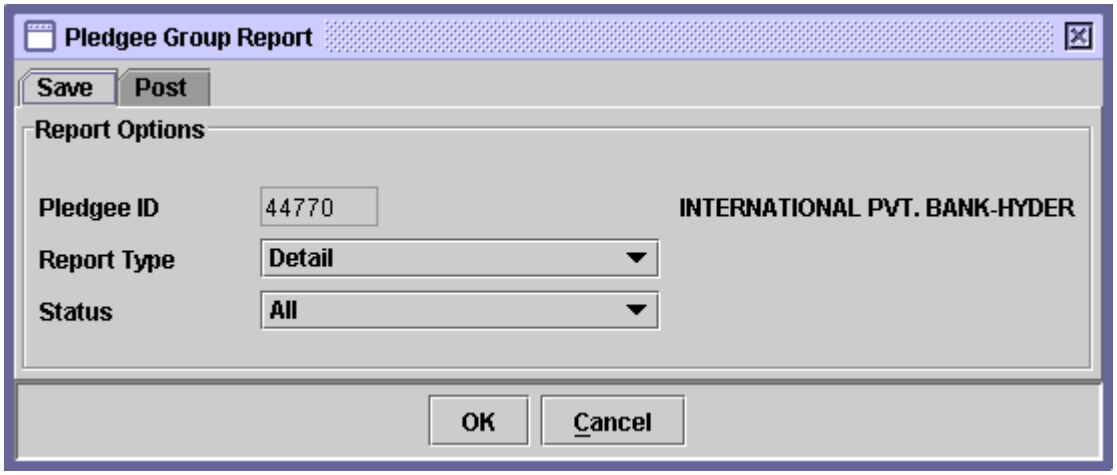
Security Symbol, Pledge Available/Blocked Volume, Release Volume and Remarks.

Whereas for Called Pledge, the format of the report shows the Pledge Group ID, Participant ID, A/C#, A/c Title, A/C Type, Security Name, Security Symbol, Pledge Available/Blocked Volume, Call Available/Blocked Volume, To Participant ID and Name, Reason Description and Remarks.

After the user has entered the above parameters, the user should click the *'OK'* button to display the report on the screen or the *'Cancel'* button to quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

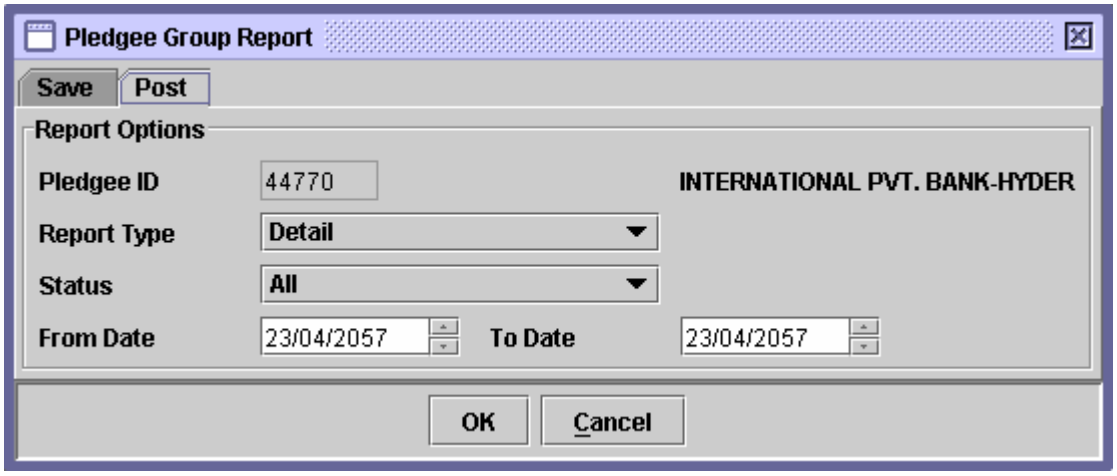
6.3.2 Pledge Group Report

The *Pledge Group Report* option which is displayed when the Pledge Reports menu item on the Reports menu is highlighted enables the user to display reports showing the saved and posted Pledge groups relating to a particular pledgee. Clicking on this menu item displays the screen shown below:



When the above screen appears, the user is on the 'Save' tab by default. This tab is used to generate report related to saved Pledge Group transactions. In order to generate report related to posted Pledge Group transactions, the user

should click the 'Post' tab. On clicking the 'Post' tab displays the following screen:

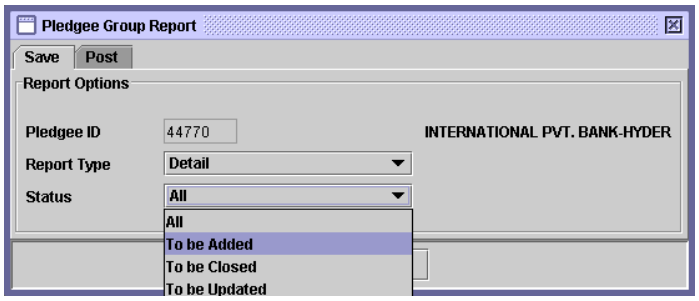


The Pledgee ID is hard coded and cannot be changed by the user. In order to generate the report related to the saved Pledge Groups, the user will enter the following data in the Save tab of the above screen:

* **Report Type** — The user has the option to select whether has wants to generate the report in detailed or summarized form. The *'Summary'* shows the Pledgee ID, No. of Pledge Groups and Status in the report generated.

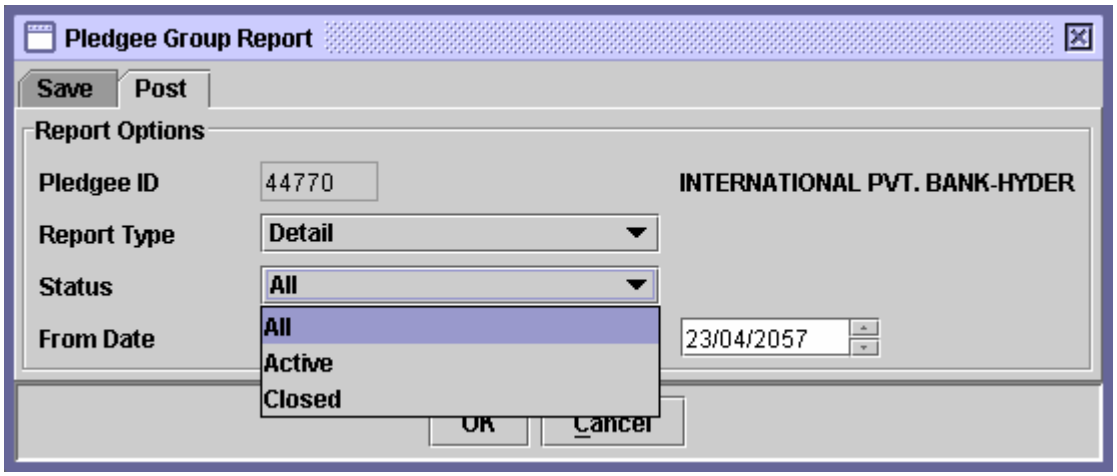
  The user can also choose to view the detailed version by selecting the *'Detail'* option from the combo box. This shows the Pledgee ID, Pledge Group ID, Pledge Group Description and Status in the generated report.

* **Status** — The user can generate the report for a specific Pledge Group status. These can be 'To be Added,' 'To be Closed, 'To be Updated,' or 'All' which shows Pledge Groups with all the above statuses.



If the user wants to display or print a report related to posted Pledge Group transactions, the user needs to go to the 'Post' tab of the above screen. In addition to the field mentioned above, the Post tab also has the 'From Date' and 'To Date' fields used to enter the dates to be covered by the Pledge Group Report.

Further, as shown below, the user is provided with *'All,' 'Active'* and *'Closed'* options in the Status field of the Post tab, indicating the status of Pledge Groups for which the report is required.

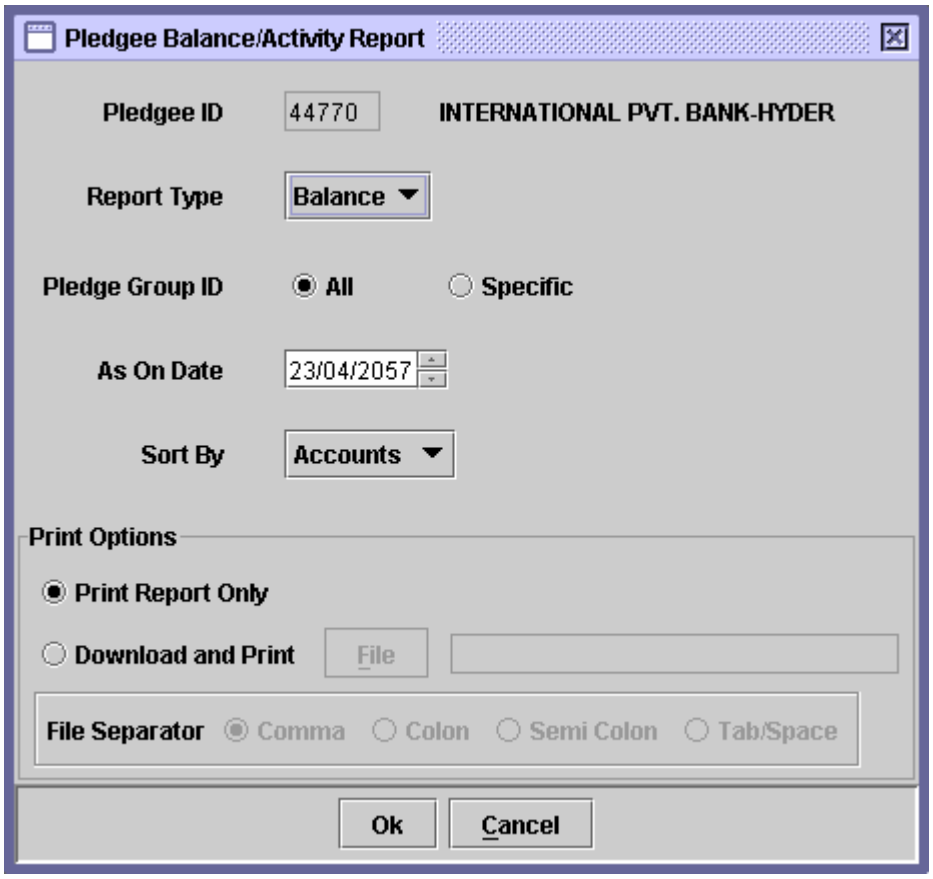


Clicking the *'OK'* button will display the report on the screen and the *'Cancel'* button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

The report format for Post Tab is same as the Saved Pledge Group Report with the only difference that the report generated is based on the From Date & To Date.

6.3.3 Pledgee Balance/Activity Report

The *Pledgee Balance/Activity Report* option which is displayed when the Pledge Reports menu item on the Reports menu is highlighted, enables the user to print and download report showing information related to Pledgee Balance as on a given date and/or Pledgee Activity within a date range. When the user clicks the Pledgee Balance/Activity Report option, the following screen opens:

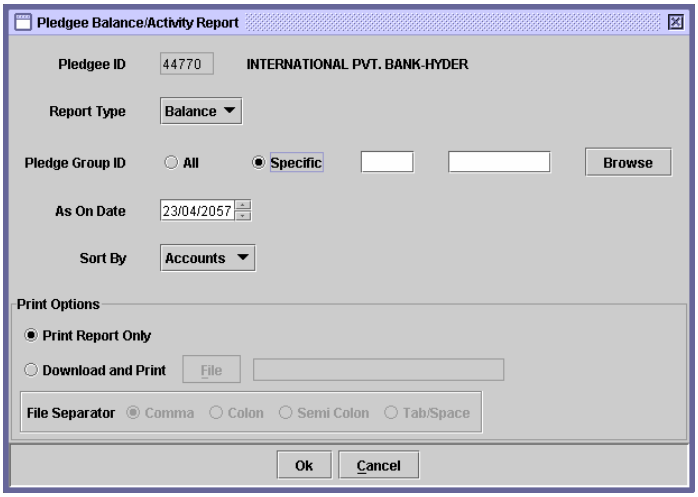


The Pledgee ID field is hard coded and cannot be changed by the user. The user is required to enter the following data in respective fields on the above screen:

* **Report Type** The user has the option to select whether has wants to generate the report related to the balances of pledged securities on a specified date or the activity related to

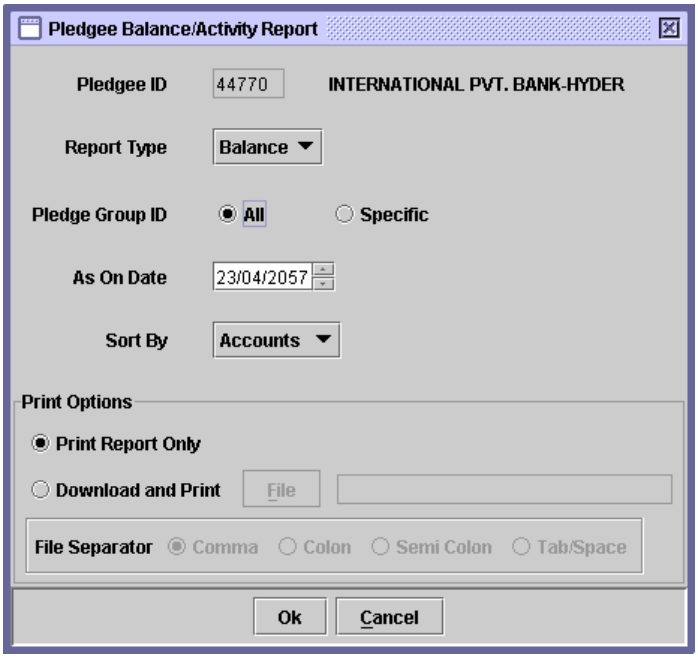
pledging of securities between two specified dates. Accordingly, the *'Balance'* or *'Activity'* options from the Report Type comb box may be selected.

* **Pledge Group ID** The user has the option to generate the Pledge Balance/Activity Report for all Pledge Groups or for a specific Pledge Group. The field provides two radio buttons, *'All'* and *'Specific'*. In case the user selects the *'Specific'* option, the Pledge Group ID is required in the textbox that appears next to the field.



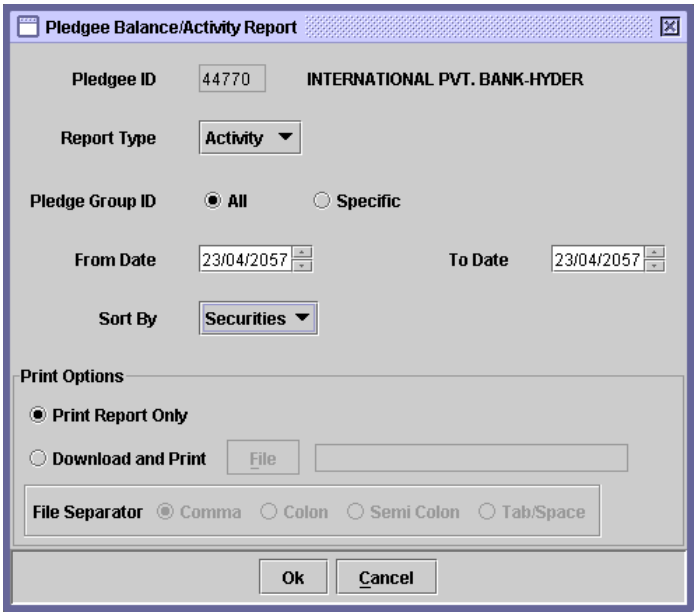
A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Pledge Group ID.

* **As on Date** This field is available when the *'Balance'* option is selected in the Report Type field. This refers to the date as on which the report is generated. If the user changes the Report Type option to *'Activity'* this field changes to *'From Date'* and *'To Date'* fields.



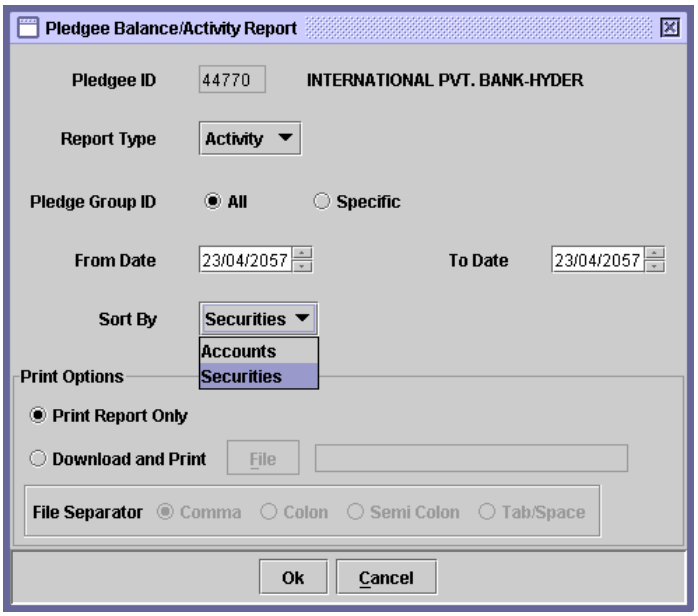
* **From Date & To Date**

The dates to be covered by the report should be entered in these fields. These fields appear when the user selects the *'Activity'* option in the Report Type field.



* **Sort By**

A combo box with the options *"Securities" and "Accounts"* is provided in this option. User can generate the report according to any on these options.



The report for report type Balance shows Group ID, Details, Available Balance, Blocked Balance and Total Balance.

Whereas for Report Type Activity, the report shows Transaction Reference, Group Id, Transaction Id, Details, 'To Secure the Obligation of', Transaction Volume, Pledged Available Balance, Pledged Blocked Balance and Total Balance.

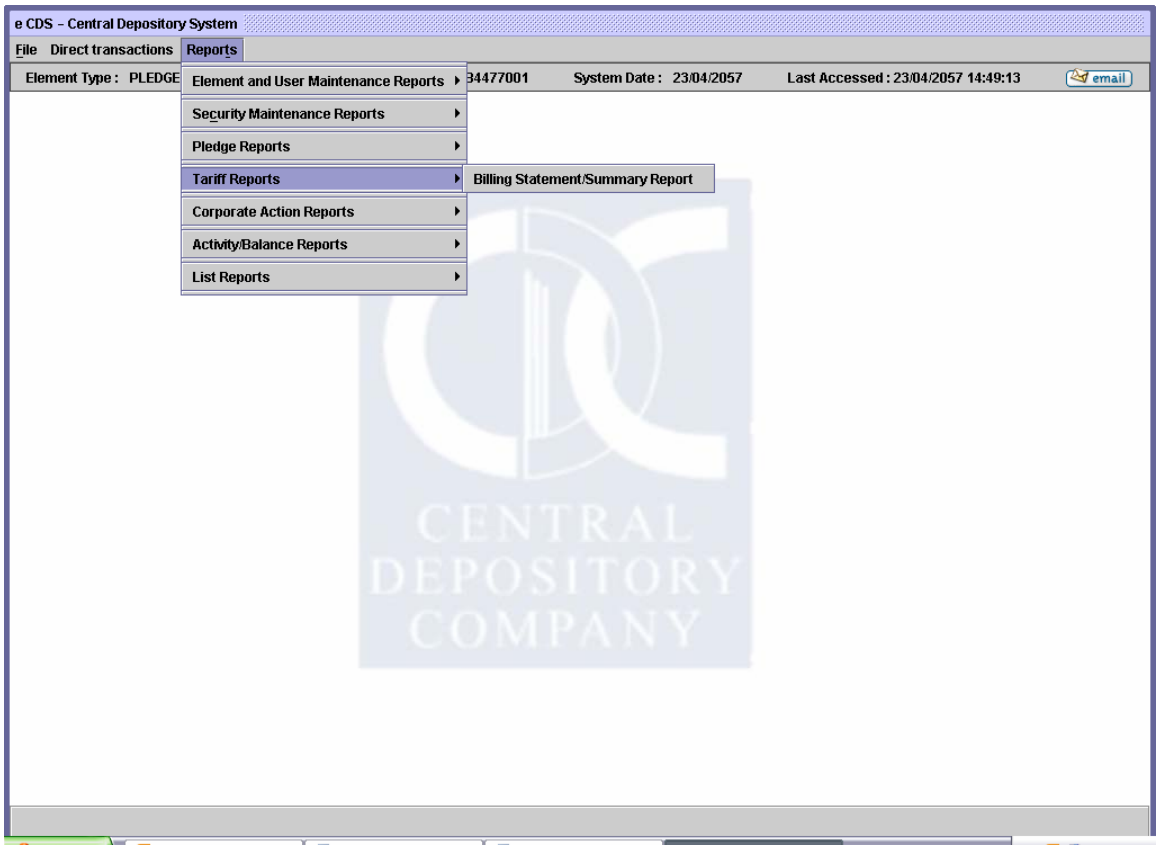
The 'Print Report Only' and 'Download and Print' options are explained at the beginning of this chapter.

The contents of "*Download and Print" option report are same as that of the "Print Report only".*

Clicking the *'OK'* button will display the report on the screen and the *'Cancel'* button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

6.4 TARIFF REPORTS

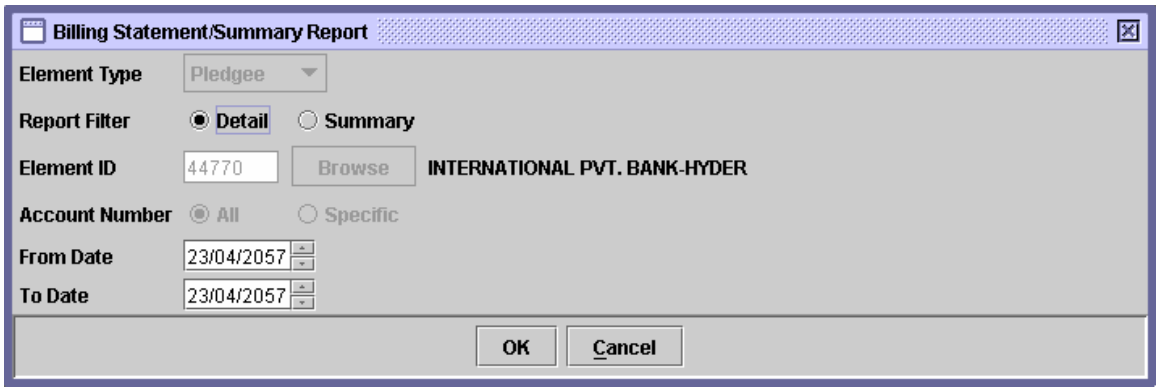
The *Tariff Reports* option on the Reports Menu enables the user to display and/or print reports relating to all movements of cash. As shown below, when the Tariff reports menu item is highlighted, a sub-menu is displayed:



6.4.1 Billing Statement/Summary Report

The *'Billing Statement/Summary Report'* shows the billing information for Depository services. The details shown are updated to the last End of Day procedure performed except transaction tariff. The report shows, for each transaction, the Transaction Date, the Transaction Reference, the Transaction ID, the Security Symbol of the security involved in the transaction, the Security Name, Remarks to the transaction, Volume, Price and Amount against the transaction.

The *Billing Statement/Summary Report* option is displayed in the submenu which is opened when the Tariff reports menu item in the Reports menu is highlighted. When the user clicks this option, the following screen is displayed:



The Element Type, Element ID and Account Number fields are hard coded and cannot be changed by the user. The user is required to enter the following data in respective fields on the above screen:

* **Report Filter** — The user has the option to generate the report in detail form or in summary form.

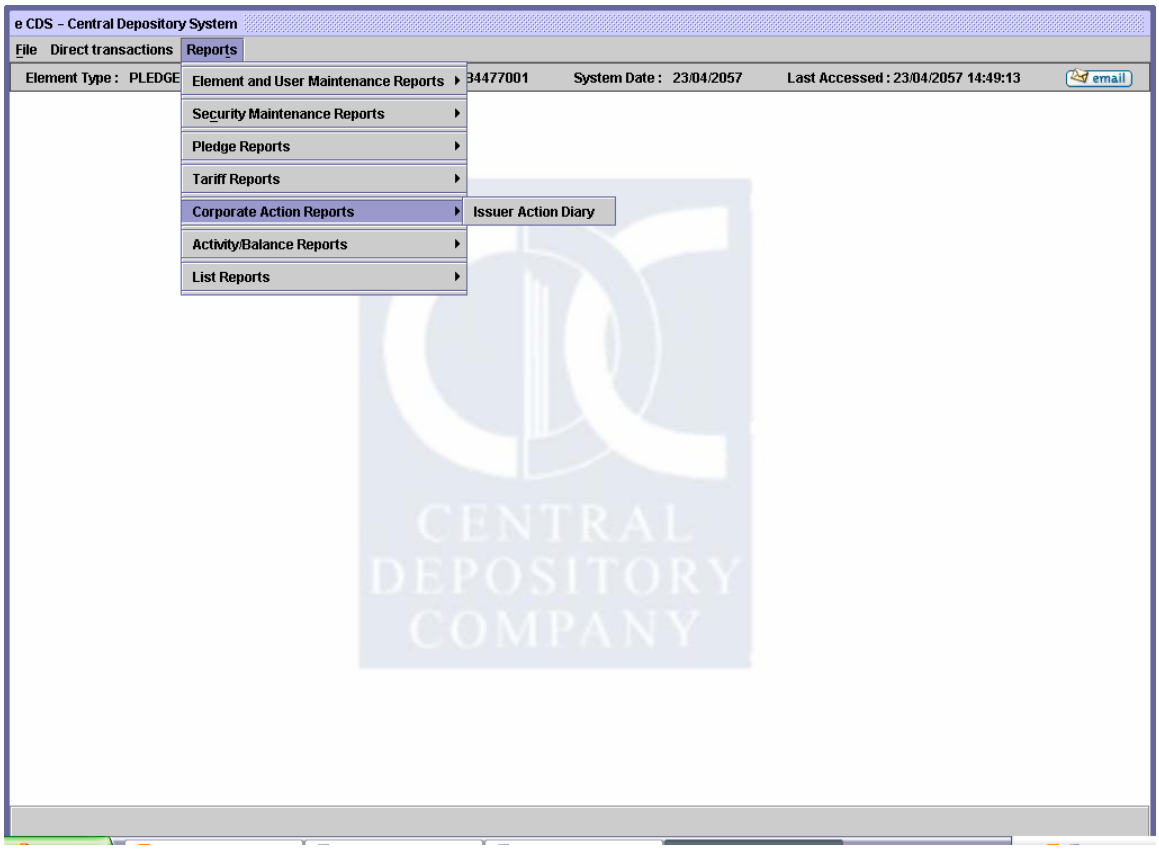
  If the user wants to view the detailed billing information, the user can select the *'Detail'* radio button. This generates the report with Transaction Date, Transaction reference, Transaction ID, Security Symbol, Security Name, Remarks, Transaction Volume, Price and the Amount against the transaction. Alternatively, if the user wants to view the consolidated billing information; the user can click the *'Summary'* option.

* **From Date & To Date** — The dates to be covered by the report should be entered in these fields.

After the user has entered the above parameters, clicking the '*OK*' button will display the report on the screen and the '*Cancel*' button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

6.5 CORPORATE ACTION REPORTS

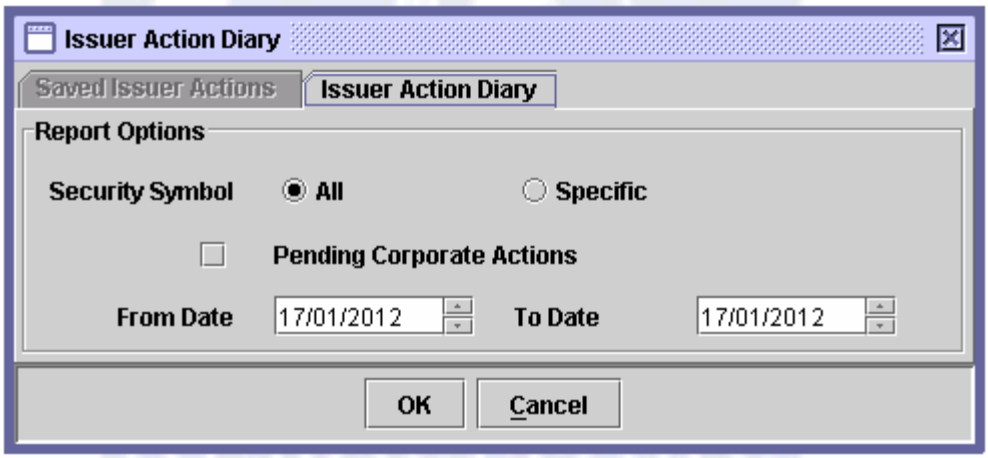
As shown below, when the user highlights the *'Corporate Action Report'* menu item under the Reports menu, a submenu containing the *'Issuer Action Diary'* option is displayed.



6.5.1 Issuer Action Diary

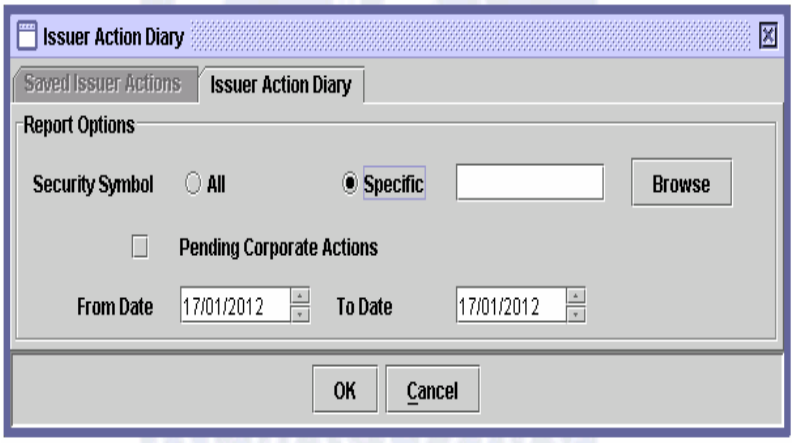
The status of all corporate actions taken by issuers during a given period is shown in this report. For a specified date range, this report shows details of corporate actions, such as the Security Symbol, Security Name, Apply Date, Corporate Action Status, Corporate Action Date, Action, Transaction ID and Corporate Action Details.

The *Issuer Action Diary* screen is displayed when the Issuer Action Report option is clicked in the Corporate Action Reports submenu under the Reports menu. Clicking this option brings up the screen shown below:



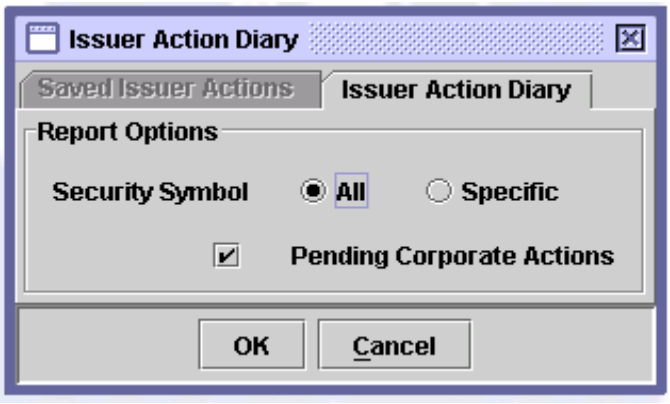
The Issuer Action Diary tab of the above screen is enabled and displayed by default while Saved Issuer Actions tab is disabled. The user is required to enter the following data in this screen:

* **Security Symbol** The Security Symbol for which the report is needed to be printed. The user needs to specify whether the report is required for all securities or for a specific security by clicking the *'All'* or *'Specific'* radio buttons respectively. When the user selects the 'Specific' option a textbox appears next to the field for entering the Security Symbol as shown below:



The user can also click the 'Browse' button by the side of the textbox to open a lookup table containing Security Symbols, in case the user does not remember the correct Security Symbol.

* **Pending Corporate Actions** The *'Pending Corporate Actions'* check box is provided for enabling the users to generate Issuer Action Diary containing information on corporate actions not yet completed. The user needs to click this check box in case the user wants to generate the report containing such information. When the user clicks this check box, the *From Date* and *To Date* fields disappear, as shown below:



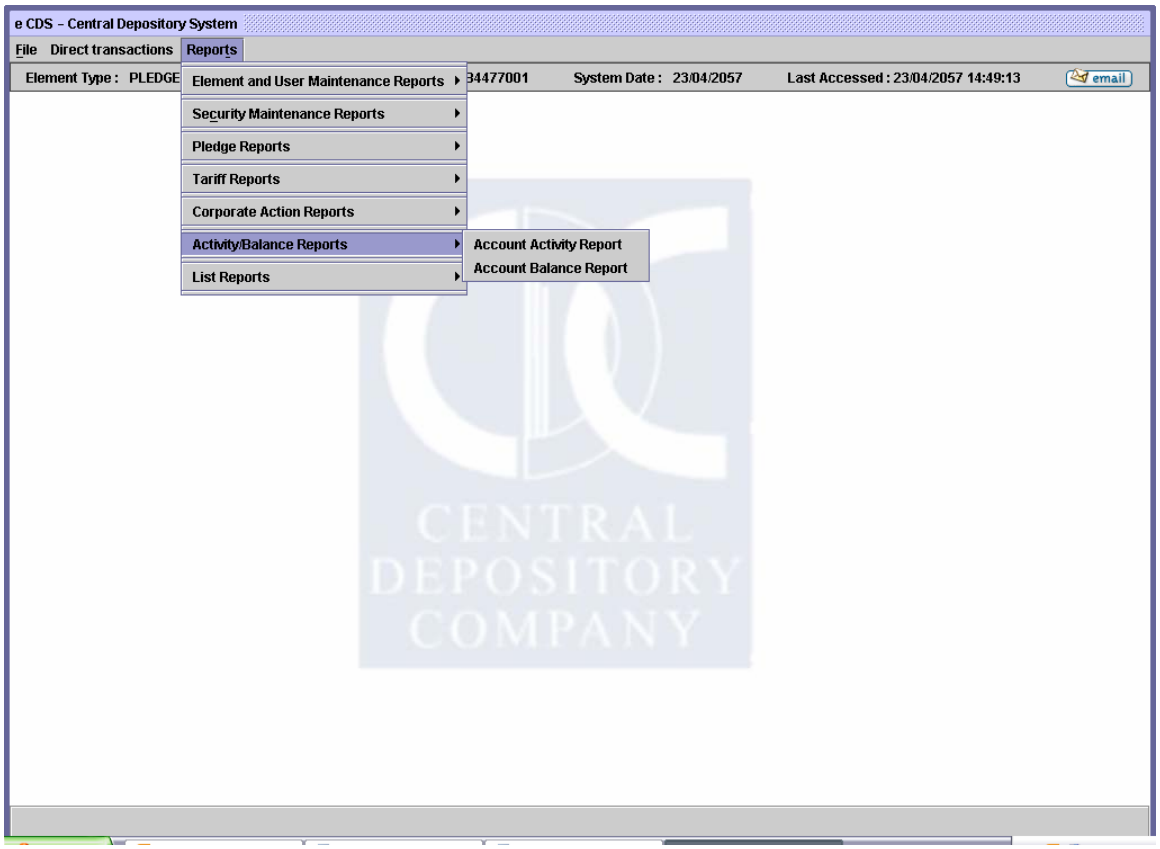
* **From Date & To Date** The user also needs to enter the *'From Date'* and '*To Date'* in the respective fields to specify the date range for which the report is to be compiled.

Symbols used in the report columns are explained at the end of the report.

After the user has entered the above parameters, the user should click the *'OK'* button to display the report on the screen or the *'Cancel'* button to quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

6.6 ACTIVITY / BALANCE REPORT

The *Activity/Balance Reports* submenu is available in the Reports menu on the main screen, as shown below:



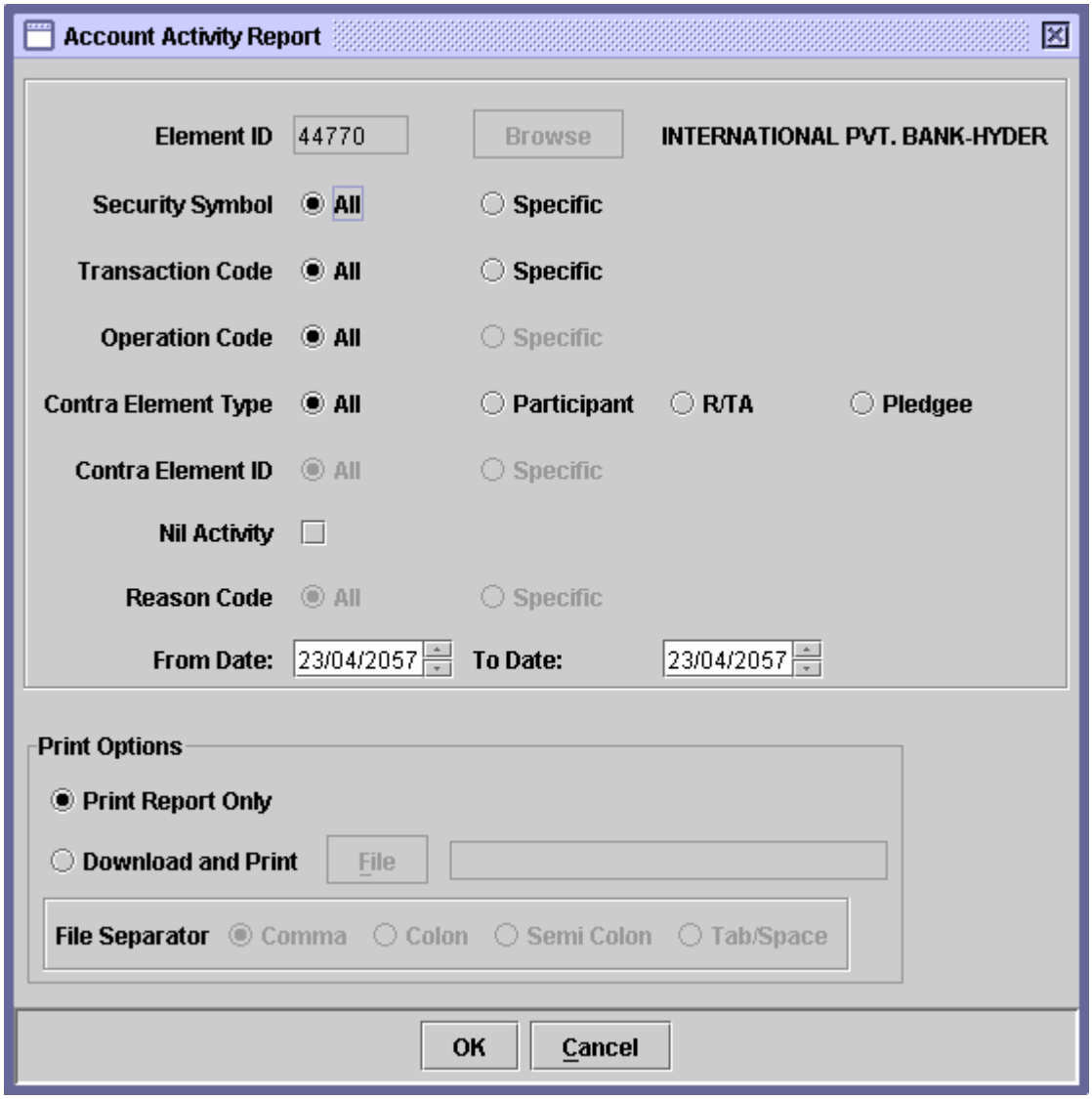
The report options available within this submenu are:

- Account Activity Report
- Account Balance Report

6.6.1 Account Activity Report

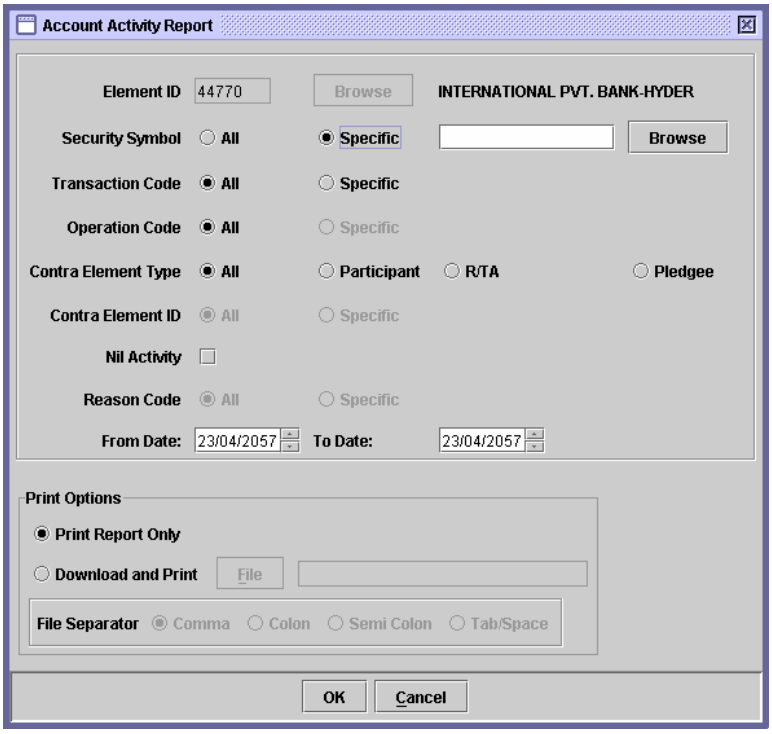
This report shows the Pledge transactions carried out on a specified account or all the accounts of an account holder/participant during a specified date range. With respect to a specified security or all securities, the report shows the opening balance of Available Volume, Pledged Volume, Pending-in and Pending-out volume on the specified date. It then shows details of all the transactions performed with respect to the security, such as the transaction reference (Transaction code, Operation code, Date, Transaction Id), Description/Details, Transaction Volume, Available Volume, Pledged Volume, Pending-in and Pending-out volume. The report header shows element ID, Account No., Security Symbol, transaction/operation codes included in report and contra element ID.

To display and/or print the Account Activity Report, the user would select the *Account Activity Report* option on the sub-menu, which is displayed when the *'Activity/Balance Reports'* menu item on the Reports menu is highlighted. Clicking on this menu option brings up the screen shown below:



The Element ID field is hard coded. The data to be entered in this screen is as follows:

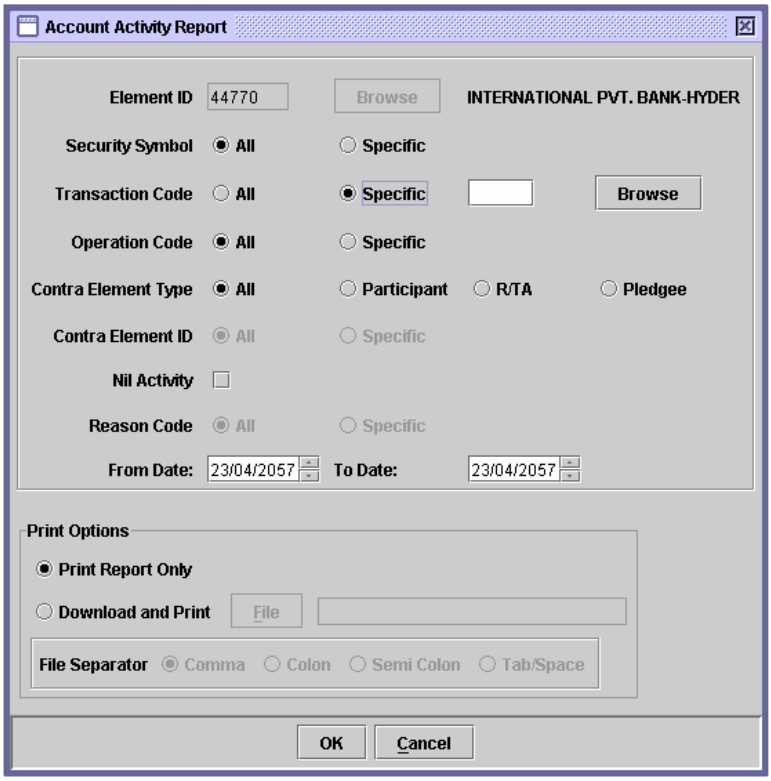
* **Security Symbol** — The user can enter the *Security Symbol* for a particular security to restrict the report to activity in that security only. User can also click the *'All'* radio button to compile the report for all the securities.



A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Security Symbol.

* **Transaction Code**

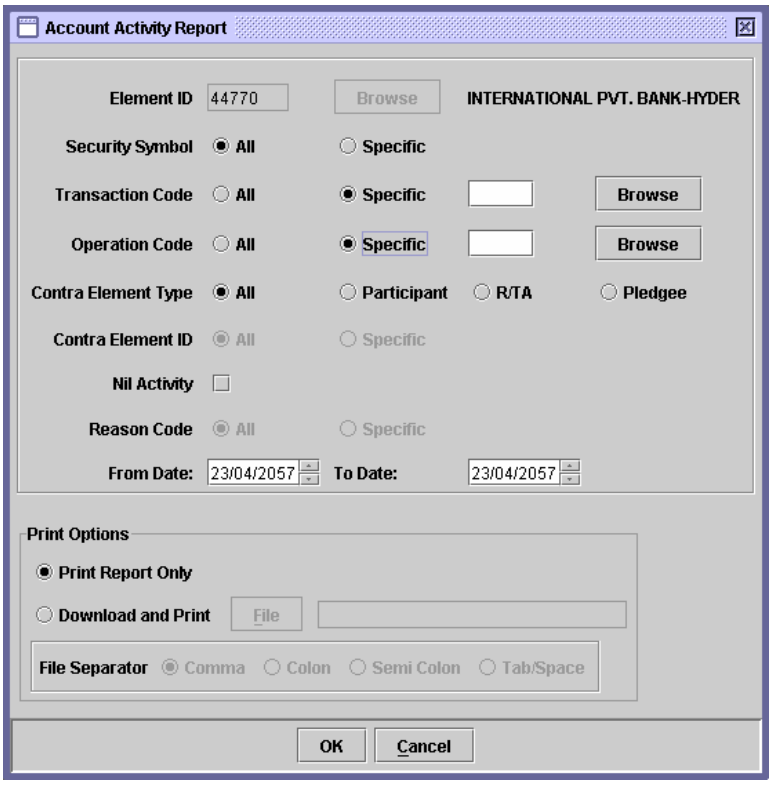
The user can enter a particular *Transaction Code* if the user wants to restrict the report to activity in that transaction only or the user can enter *'All'* to compile the report for all the transactions executed.



A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Transaction Code.

* **Operation Code**

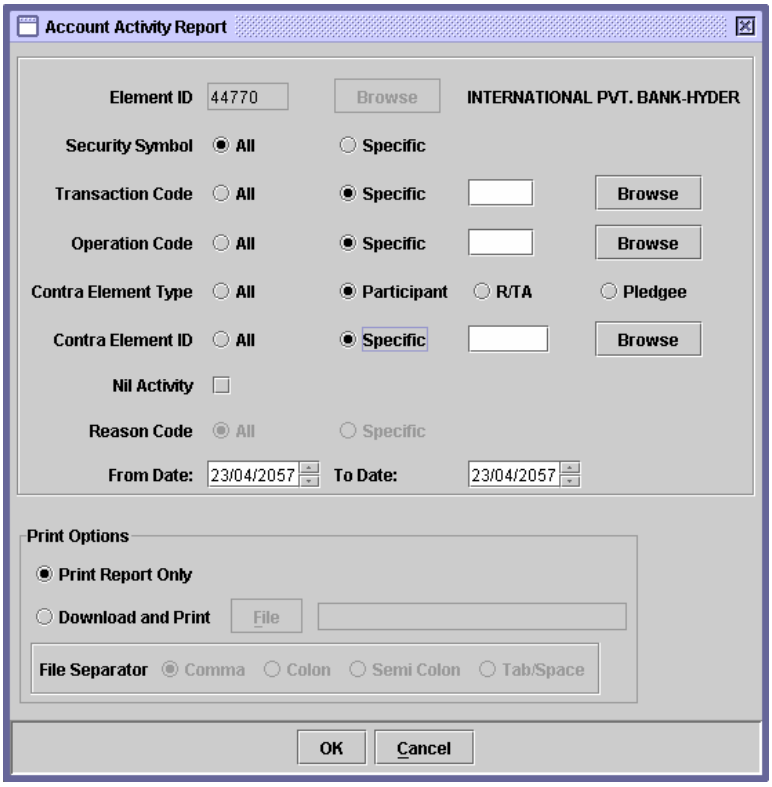
The user can enter a particular *Operation Code* if the user wants to restrict the report to activity in that transaction only or the user can enter *'All'* to compile the report for all the operations.



A *'Browse'* button is provided by the side of the Specific field to give the user access to a lookup table in case the user does not remember the correct Operation Code. Since the Operation Code is related to Transaction Code, the textbox for entering the Operation Code appears only when the *'Specific'* option is selected in the Transaction Code field.

* **Contra Element Type**

The user is required to click the appropriate radio button for the required *Contra Element Type*. The contra element type indicates the parties transactions with whom are to be included in the report. To show transactions with all parties, the *'All'* radio button should be clicked. Clicking any button other than *'All'* causes the Contra Element ID field to appear below the Contra Element Type field as shown below:



A *'Browse'* button along with 'All' option is provided by the side of the Contra Element ID field to give the user access to a lookup table in case the user does not remember the correct ID.

* **Nil Activity** Provision is provided to the User to also fetch all those securities records in which no activity take place.

* **Reason Code** The Reason Code field is disabled and set to parameter as All.

* **From Date & To Date** The dates to be covered by the report should be entered in these fields.

The print option is explained at the beginning of this chapter.

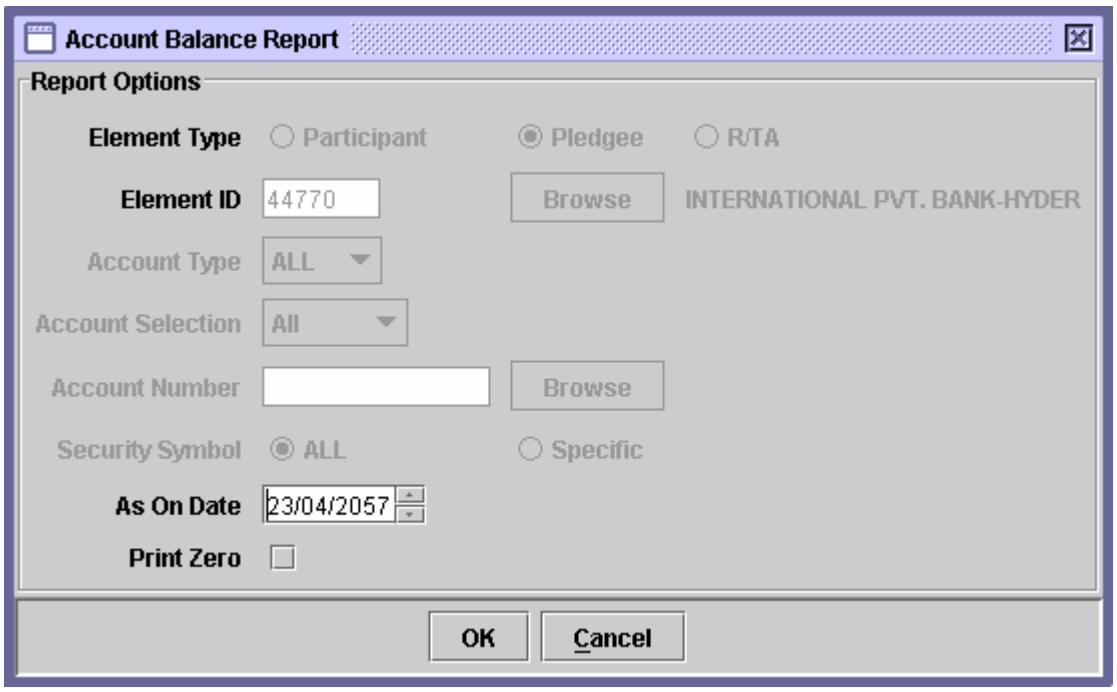
The 'Download' is not available to pledgee.

Clicking the *'OK'* button will display the report on the screen and the *'Cancel'* button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

6.6.2 Account Balance Report

The Account Balance Report shows the balances of all securities on a specified date. The details shown separately for each security are the Security Symbol, Security Name and Position Owned.

The *Account Balance* option is displayed on the Reports Menu, as shown above. Clicking the Account Balance Option displays the following screen:



The Element Type and Element ID fields are hard coded and cannot be changed by the user. The data to be entered in this screen is as follows:

* **Account Type** This field is disabled.

* **Account** This field is disabled.

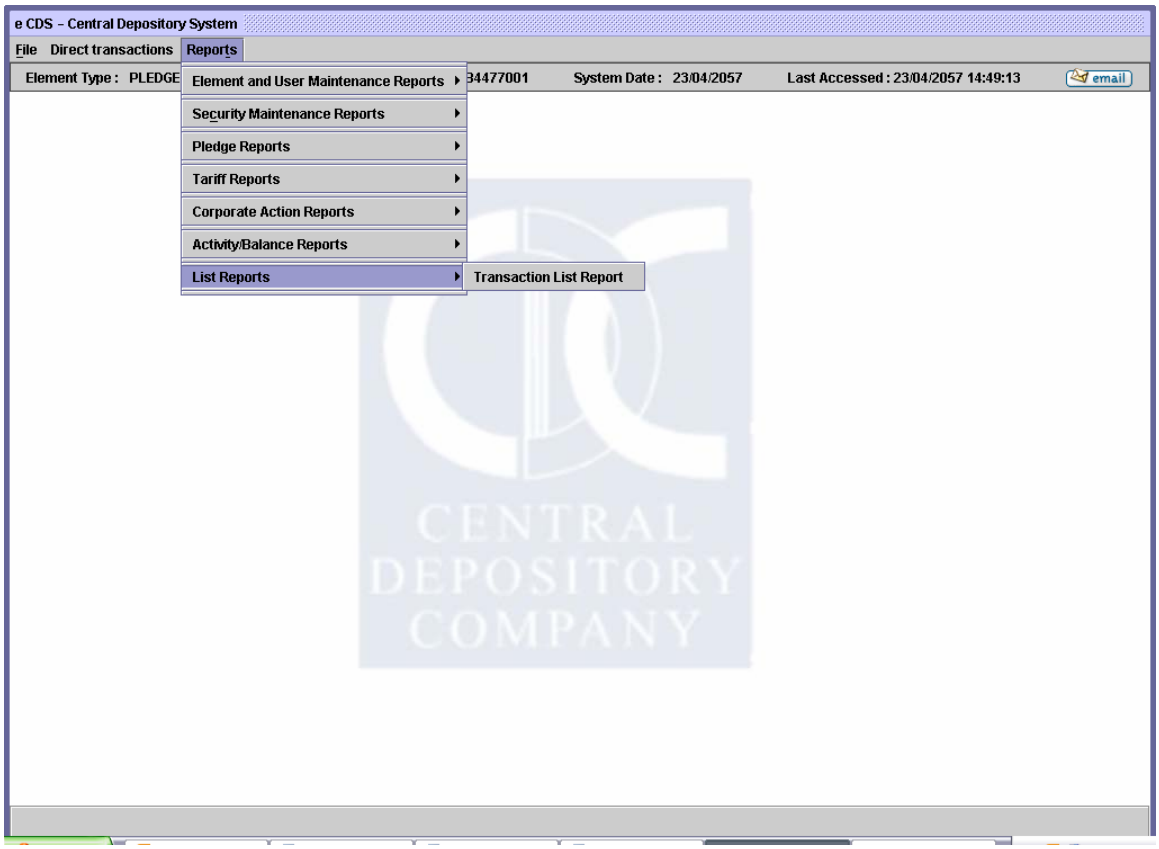
Selection

* **Account Number**	This field is disabled.
* **Security Symbol**	This field is disabled.
* **As on date**	The date as of which the Account Balance report is required has to be entered here.
* **Print Zeros**	This check box is used to print zeros if the balance is Nil.

After the user has entered the above parameters, clicking the *'OK'* button will display the report on the screen and the *'Cancel'* button will quit the program without displaying the report. When the report is displayed, the user can get it printed as explained in the chapter "Getting Started."

6.7 LIST REPORTS

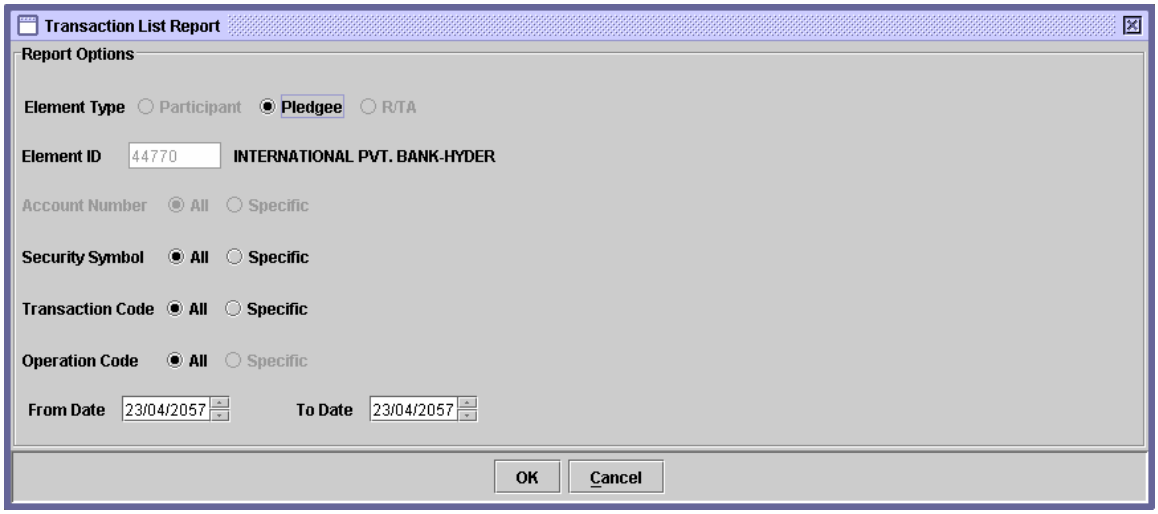
The *List Report* submenu is available in the Reports menu on the main screen, as shown below:



5.7.1 Transaction List Report

This report shows the detail list of transactions carried out on an Element ID during a specified date range. It shows details of all the transactions performed with respect to the security, such as the transaction reference (Transaction code, Operation code, Date, Transaction Id), Description/Details, Transaction Volume, Transaction Fees and Audit Information. The report header shows Pledgee ID, Account No., Security Symbol, transaction/operation codes.

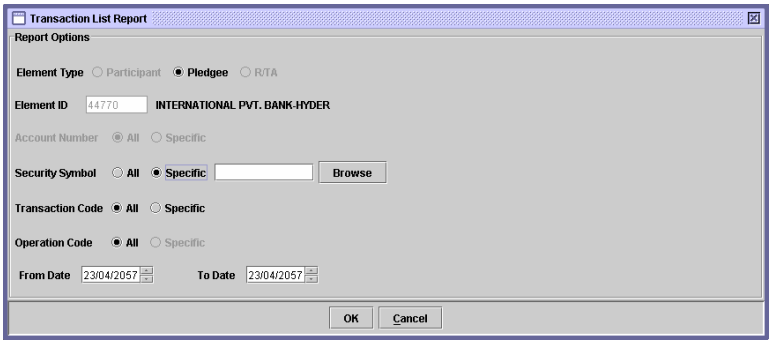
Clicking the Transaction List Report Option displays the following screen:


Transaction List Report
Report Options
Element Type Participant Pledgee R/TA
Element ID 44770 INTERNATIONAL PVT. BANK-HYDER
Account Number All Specific
Security Symbol All Specific
Transaction Code All Specific
Operation Code All Specific
From Date 23/04/2057 To Date 23/04/2057
OK Cancel

The Element Type and Element ID are hard coded. However, the data to be entered is briefly described as follows:

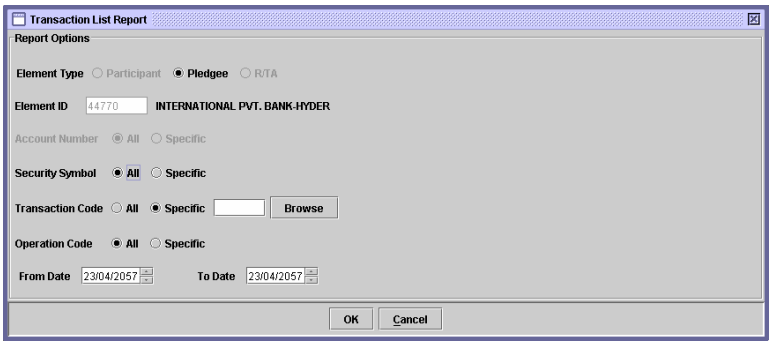
* **Account Number** — This field is disabled.

* **Security Symbol** — The user can enter the *Security Symbol* for a particular security to restrict the report to activity in that security only. User can also click the *'All'* radio button to compile the report for all the securities.


Transaction List Report
Report Options
Element Type Participant Pledgee R/TA
Element ID 44770 INTERNATIONAL PVT. BANK-HYDER
Account Number All Specific
Security Symbol All Specific Browse
Transaction Code All Specific
Operation Code All Specific
From Date 23/04/2057 To Date 23/04/2057
OK Cancel

A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Security Symbol.

* **Transaction Code** — The user can enter a particular *Transaction Code* if the user wants to restrict the report to activity in that transaction only or the user can enter *'All'* to compile the report for all the transactions executed.

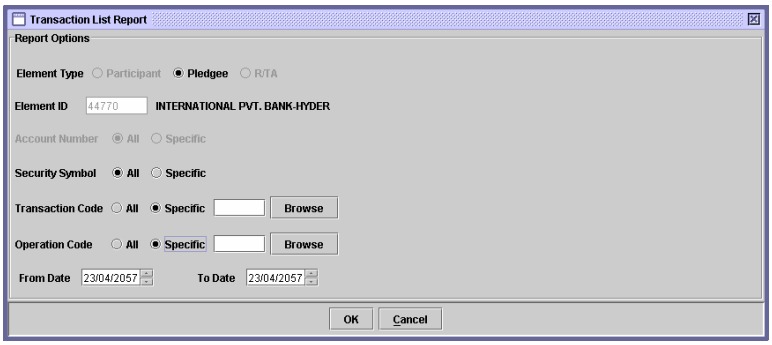

Transaction List Report
Report Options
Element Type Participant Pledgee R/TA
Element ID 44770 INTERNATIONAL PVT. BANK-HYDER
Account Number All Specific
Security Symbol All Specific
Transaction Code All Specific Browse
Operation Code All Specific
From Date 23/04/2057 To Date 23/04/2057
OK Cancel

A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Transaction Code.

* **Operation Code**

The user can enter a particular *Operation Code* if the user wants to restrict the report to activity in that transaction only or the user can enter *'All'* to compile the report for all the operations. A *'Browse'* button is provided by the side of the field to give the user access to a lookup table in case the user does not remember the correct Operation Code.

Since the Operation Code is related to Transaction Code, the textbox for entering the Operation Code appears only when the *'Specific'* option is selected in the Transaction Code field.


Transaction List Report
Report Options
Element Type Participant Pledgee R/TA
Element ID 44770 INTERNATIONAL PVT. BANK-HYDER
Account Number All Specific
Security Symbol All Specific
Transaction Code All Specific Browse
Operation Code All Specific Browse
From Date 23/04/2057 To Date 23/04/2057
OK Cancel

* **From Date & To Date**

The dates to be covered by the report should be entered in these fields.